



U.S. Department of Justice

Justice Management Division

Human Resources

Washington, D.C. 20530

SEP 28 2018

Mr. Austin R. Evers
Executive Director
American Oversight
1030 15th Street, NW, Suite B255
Washington, DC 20005

Re: Freedom of Information Act Request, JMD FOIA Tracking Number: 109300

Dear Mr. Evers:

On behalf of the Justice Management Division (JMD), I am responding to your Freedom of Information Act (FOIA) request July 6, 2017. You have asked for copies of materials entitled "Orientation for Political Appointees, Department of Justice", used since January 2017, and used during 2005 and 2009.

Enclosed is information relevant to your request. JMD did not retain copies of 2005 orientation materials. Therefore, the response constitutes approximately 300 pages.

I trust that this information fully satisfies your request. If you need any further assistance or would like to discuss any aspect of your request, please do not hesitate to contact our FOIA Public Liaison at (202) 514-3101.

Sincerely,

Mary A. Lamary, SES

MAL: Mary A. Lamary
Director, Human Resources
Justice Management Division

Enclosures

HUMAN RESOURCES BRIEFING GUIDE



THE DEPARTMENT OF JUSTICE



TRANSITION
2008-2009

JUSTICE MANAGEMENT DIVISION
HUMAN RESOURCES

AMERICAN
OVERSIGHT

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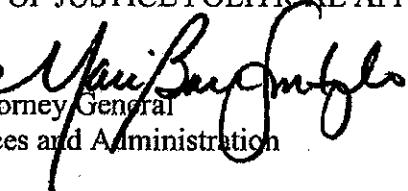
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U.S. Department of Justice

Washington, D.C. 20530

MEMORANDUM FOR DEPARTMENT OF JUSTICE POLITICAL APPOINTEES

FROM: Mari Barr Santangelo 
Deputy Assistant Attorney General
for Human Resources and Administration

SUBJECT: Human Resources Briefing Guide—Transition 2008-2009

Welcome to the Department of Justice (DOJ), the only large Cabinet agency rated in the top five *Best Places to Work in Government* in 2007! Strategically managing the Department's human capital is one of our most important tasks. We developed this **Human Resources Transition Guide** to assist you in understanding the importance of the Department's human capital-related information, and in navigating DOJ's organizational structure, workforce statistics, employment systems, appointment authorities, and ethics policy. In addition, the Guide includes several appendices pertaining to pay, Presidential appointments, the Senior Executive Service, attorney and competitive service hiring, and delegations.

DOJ's primary mission to enforce the law and to defend the interests of the United States and its citizens in accordance with the law is carried out by over 106,000 talented and diverse men and women. Working in 40 separate Components and in Offices throughout the United States and overseas, these individuals are on the front lines of our Nation's efforts to: *fight the war on terrorism, protect our neighborhoods from illegal guns and drugs, ensure public safety, and to prosecute those guilty of unlawful behavior*. Their commitment and hard work ensure that DOJ can meet its important and ever-changing responsibilities.

With numerous mission-related challenges to address, the DOJ Attorney General, Departmentwide senior leaders and managers, and frontline employees rely heavily on the leadership of the DOJ Chief Human Capital Officer (CHCO) and DOJ Human Capital Community to provide policies and programs that strengthen skill sets, develop careers, and help balance employee work and family responsibilities.

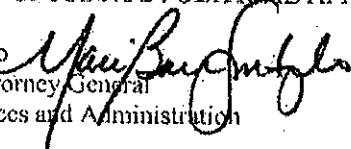
Understanding the importance of their responsibilities, the DOJ Human Capital Community works diligently to create a transparent connection between human capital efforts and mission-related priorities and responsibilities. This is in part achieved through the 2007-2012 DOJ Human Capital Strategic Plan, which is located at <http://www.usdoj.gov/jmd/ps/missionfirst.pdf>. The collaborative efforts of the DOJ Human Capital Community continue to translate into greater awareness of DOJ HR, active support and involvement from DOJ senior leaders and employees, and a strong commitment to drive continuous improvement through effective strategic planning, and maintain our focus on "mission-first".



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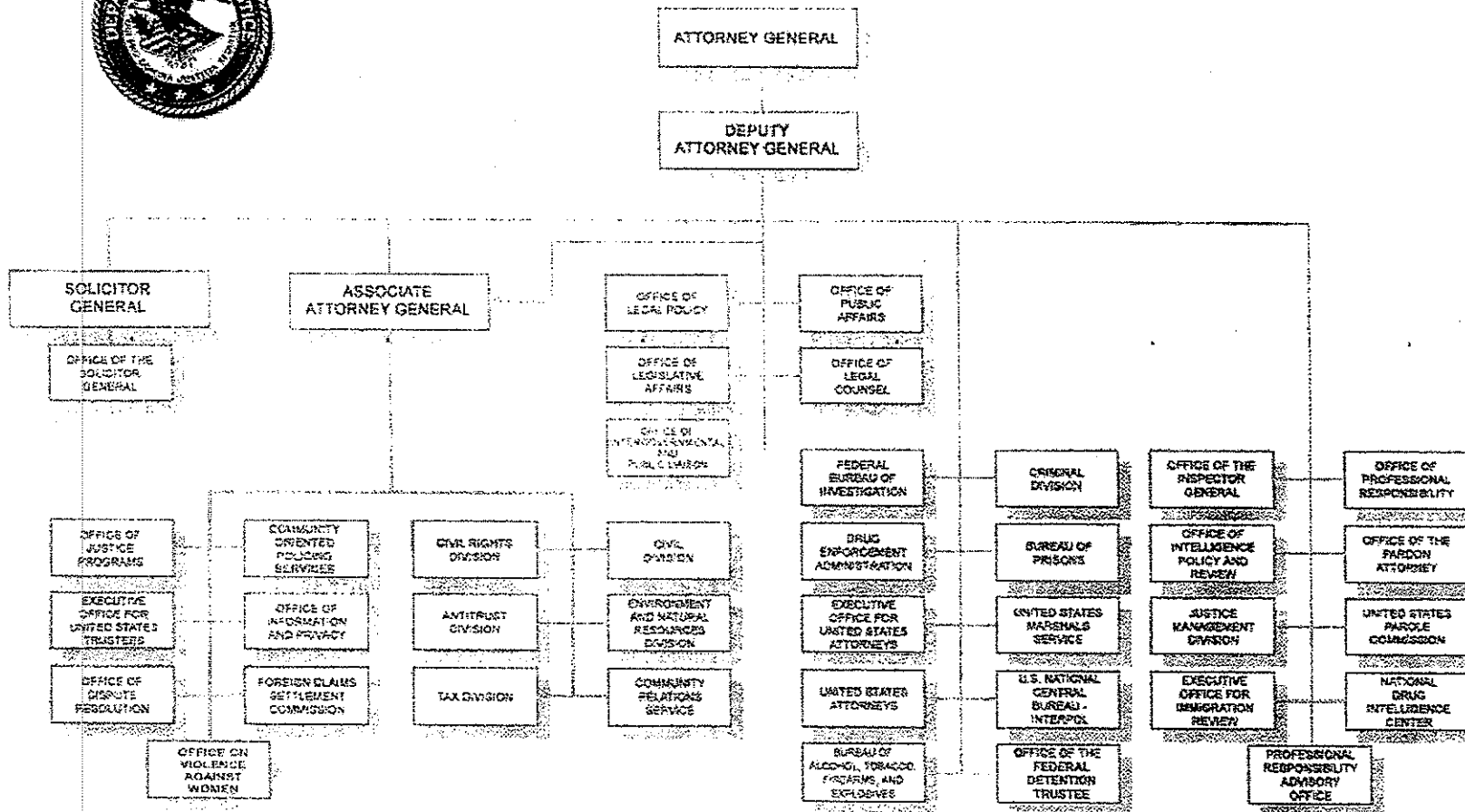
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2008-2009



DEPARTMENT OF JUSTICE



Approved by

John D. Ashcroft

JOHN D. ASHCROFT
Attorney General

Date:

7-14-03

DEPARTMENT EMPLOYMENT AT A GLANCE

TOTAL EMPLOYMENT

Bureau of Prisons	36,496
Bureau of Alcohol Tobacco Firearms and Explosives	5,002
Federal Bureau of Investigation	31,447
U.S. Attorneys	11,782
Drug Enforcement Administration	9,175
Offices, Boards and Divisions*	9,040
U.S. Marshals Service	4,802
U.S. Trustee Program	1,265
Office of Justice Programs	648
Inspector General	430
Total	110,087

* JMD included in OBDs

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OVERVIEW: MAJOR EMPLOYMENT SYSTEMS

A. Appointments

Federal positions generally fall into three categories: the Competitive Service, entry into which requires competition through open examination; the excepted service, entry into which is controlled by agencies or governed by statute or Executive Order; and the Senior Executive Service (SES). This briefing guide discusses all of these appointment types.

In the Department, the authority to make appointments to noncareer SES or Schedule C positions ("political") is vested in the Attorney General. A senior political appointee in the Department serves as White House Liaison and coordinates political appointments with the White House Office of Presidential Personnel. The authority to make career SES appointments to "key executive" positions is vested in the Deputy Attorney General.

With these exceptions, full authority to make appointments in the Department has been delegated to the following component heads: Bureau of Prisons; Drug Enforcement Administration; Executive Office for U.S. Attorneys; Federal Bureau of Investigation; Bureau of Alcohol, Tobacco, Firearms and Explosives; U.S. Marshals Service; Office of Justice Programs; Office of the Inspector General; Executive Office for U.S. Trustees; and Executive Office for Immigration Review. The following component heads have partially delegated personnel authority: Office of Attorney Recruitment and Management (OARM); Community Relations Service; Criminal, Civil, Environment and Natural Resources, Antitrust, Tax, and Civil Rights Divisions.

The authority to appoint attorneys up to grade GS-15, Assistant U.S. Attorneys, and Immigration Judges is reserved to the Deputy Attorney General and to the Associate Attorney General respectively for the organizations which they oversee. However, the authority to appoint attorneys and Assistant U.S. Attorneys has been delegated to the OARM.

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B. Pay Plans

As in many large and complex private organizations, Federal pay administration is carried out under a number of different systems. Some, like the General Schedule, are based on *rank in the job*, while others, like the SES, are based on *rank in the person*. Pay scales of some are adjusted through legislation while the pay scales of others are set administratively. The coverage of some is broad and general; that of others is restricted along occupational lines, confined to certain organizational components, or otherwise limited.

Despite the differences, most of these systems are related in one or more ways, or are subject to common legislative policies, such as the precepts in the statutory pay systems, including the General Schedule, which provides for equal pay for substantially equal work; pay differences based on work and performance distinctions; and Federal salary rates comparable with non-Federal employment for the same levels of work.

In the Department, most employees are compensated under one of 11 pay systems listed below with their common acronyms:

- Executive Schedule (EX)
- Senior Executive Service (ES)
- General Schedule (GS)
- Demonstration Project (PD)
- Senior Level (SL)
- Administratively Determined (AD)
- Immigration Judge (IJ)
- Federal Wage Schedules (WG)
- Overseas Employment (OE)
- Administrative Law Judge (AL)
- Volunteer (ZZ)

Locality pay is authorized under some of these pay systems to reduce pay disparities with non-Federal workers within each of the 32 defined locality pay areas. Several of these pay systems are discussed below in connection with specific types of appointments; the others are described in Appendix A.

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POLITICAL APPOINTMENTS

Political appointments are for individuals who make or advocate Administration policy or support those positions. Individuals serving on political appointments serve at the pleasure of the appointing authority and do not have the job protections generally afforded those in career-type appointments. All political appointees require coordination and approval of the Attorney General. Once the White House Office of Presidential Personnel clears a candidate, Justice Management Division (JMD)/HR works to obtain Office of Personnel Management (OPM) approval and provides administrative support (security, drug testing, etc.) for their appointment.

There are four major types of political appointments.

A. Presidential Appointments

All positions filled by Presidential appointment are in the excepted civil service and the basis of their appointment is statutory. The vast majority of Presidential appointments in the Department require confirmation by the Senate (commonly referred to as "PAS").

With some exceptions, the pay for Presidentially appointed positions is set by law, at one of the five levels of the Executive Schedule. Locality pay does not apply to the Executive Schedule. The current Executive Schedule pay rates (effective January 2009) are as follows:

Level V	\$143,500
Level IV	\$153,200
Level III	\$162,900
Level II	\$177,000
Level I	\$196,700

Pay exceptions include that of U.S. Attorneys, whose pay is Administratively Determined by the Deputy Attorney General. Additionally, compensation for U.S. Marshals, as set by the Deputy Attorney General, will either be on the Senior Level scale or at the GS-15, of the General Schedule. (More information about these pay systems can be found in Appendix A.)

The Presidential appointees in the Department and their pay rates and systems are shown in Appendix B.

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B. Noncareer Senior Executive Service (SES)

As discussed in greater detail below, the number of SES positions allocated to the Department is subject to OPM and Office of Management and Budget (OMB) approval. Senior leaders determine how many of the Department's executive resources will be devoted to noncareer appointees (SES), subject to a statutory limitation of 25 percent of the Department's total number of SES positions.

The SES pay range for noncertified performance systems is \$117,787 to \$162,900 (EX-III). The SES pay range for certified performance systems has a higher cap of \$177,000 (EX-II). These pay ranges adjust annually based on the increase to the Executive Schedule. By law, the base pay for SES may not exceed the pay for EX-III (currently \$162,900) of the Executive Schedule, unless the agency has full or provisional certification of its performance systems from the OPM and OMB (as of November 2008, the Department is provisionally certified and may pay at the higher cap).

Total SES compensation may not exceed the pay for EX-I (currently \$196,700) of the Executive Schedule for noncertified performance systems. Total SES compensation may not exceed the pay for the Vice President's salary (\$227,300) for certified performance systems. Based on this pay structure, senior career and noncareer appointees' pay and total compensation may exceed that of their Presidentially-appointed senior official.

An SES member's pay may be adjusted (increased or decreased) no more than once in a year, without waiver from the Deputy Attorney General. The distribution of SES positions in the Department as of November 2008 is shown in Appendix C.

C. Schedule C

Positions which are policy-determining or which involve a close and confidential working relationship with a key official may be established in Schedule C of the excepted service. Such positions require advance approval from the White House Office of Presidential Personnel and OPM and are made without competition.¹ The authority for the establishment of each Schedule C position is revoked when the position is vacated. OPM does not review the qualifications of Schedule C appointees; the final authority on this matter rests with the appointing authority (the Attorney General). Schedule C appointees may be separated at any time that the confidential or policy-determining relationship between the incumbent and his/her supervisor ends. There is no regulatory or statutory limit on the number of Schedule C positions that may be established; however, each Administration establishes its own controls through the White House Office of Presidential Personnel.

¹ As with the noncareer SES, the Department's White House Liaison obtains the approval of the White House Office of Presidential Personnel for Schedule C appointments, after which JMD obtains OPM approval for establishment of the position.

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D. Temporary Transitional Schedule C Positions

To help with the transition, OPM has delegated authority to agencies to establish a limited number of temporary transitional Schedule C positions. This delegated authority may be used during the first year of a new Presidential Administration and during a one year period immediately following the appointment of a new agency head, or the designation of an "acting" agency head. The number of temporary transitional Schedule C positions that may be established cannot exceed either 50 percent of the highest number of regular Schedule C appointees in the agency at any time over the previous five years, or three positions, whichever is higher. Appointments may be made for up to 120 days and may be extended once for up to 120 more days. OPM must be notified within five working days of any temporary transitional Schedule C appointments. OPM must also be notified within three working days when the position has been vacated.

When an agency intends to convert an employee in a temporary transitional Schedule C position to a nontemporary Schedule C appointment, the temporary appointment may be designated as a "provisional appointment" under 5 CFR 316.403. This permits the agency to treat the employee as a nontemporary appointee for benefits purposes, i.e., retirement, life insurance, and health benefits. Provisional appointments are made under an authority established by law, Executive Order, or regulation, or granted by OPM, e.g., Schedule C appointments.

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CAREER APPOINTMENTS

A. Career Senior Executive Service

Within the Department, the career SES is managed by the Senior Executive Resources Board (SERB). The SERB is comprised of four executives including: the Attorney General (or designee), the Deputy Attorney General, Associate Attorney General, and Assistant Attorney General for Administration. Historically, the Deputy Attorney General has served as the SERB Chair and, as such, must approve SES personnel actions not delegated to component heads, including the allocation of SES positions among components. The Department receives its SES allocations from OPM, in consultation with OMB. No more than 25 percent of an agency's positions may be encumbered by noncareer appointees. The current allocation and distribution of SES positions are shown in Appendix C.

Employees are appointed to the career SES in one of two ways: through an open competitive process, after which a selectee's executive qualifications must be certified by OPM; or by selection for an SES position after competing for and completion of an OPM-approved SES Candidate Development Program (CDP).

In the first case, the qualifications of each candidate are evaluated by an Executive Resources Board (ERB) and the final selection from among the best qualified candidates is made by the head of the component.

In the latter case, the CDP-qualifications are evaluated by the ERB and the selection for the program is made by the component head. When there is an SES vacancy, the component head normally selects a candidate. Upon completion of the CDP, candidates are approved by a Qualification Review Board administered by OPM, and are eligible for noncompetitive appointment to the SES.

There are several items pertaining to career SES employment which are of particular note at the time of transition:

- A career appointee may not be involuntarily reassigned within 120 days after the appointment of a new agency head or a new noncareer supervisor (the 120-day moratorium begins with the official entry of the senior official who takes the reassignment action). However, a voluntary reassignment during the 120-day period is permitted, if the employee consents in writing.
- A career appointee must receive 15 days written notice in advance of reassignment to another SES position within the commuting area.
- A career appointee must receive 60 days written notice in advance of reassignment to another SES position outside the commuting area.

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B. Excepted Service

There are a wide variety of excepted service positions in the Department. The common factor among all is that the positions are filled by the employing organizations without reference to civil service registers. Positions may be excepted by statute, regulation, or by Executive Order. Over the last several years, the distinction between the competitive service has blurred with the enactment of statutes extending job protections to excepted employees.

The specific statutory exceptions in the Department are:

- **FBI.** The entire FBI is excepted from the competitive civil service by 28 U.S.C. 536. Selections for all FBI positions (with the exception of the Director and key SES jobs) are made within the FBI.
- **Assistant U.S. Attorneys (AUSA).** AUSAs are excepted from the competitive civil service by 28 U.S.C. 542. Normally, candidates are evaluated in individual U.S. Attorneys' offices and recommendations are made by the U.S. Attorney or a Principal Assistant. Since the authority to hire Attorneys in the Department is reserved to the Deputy Attorney General and the Associate Attorney General (who have delegated that authority to the OARM), those appointments must be approved by OARM.
- **U.S. Trustees.** U.S. Trustees and Assistant Trustees are in the excepted service as authorized under 28 U.S.C. 581 and 587(b).

OPM has been given the authority to except positions from the competitive civil service under specific circumstances. Those exceptions may apply Government-wide or may apply to only a specific class of positions within an agency. Some of the more common excepted service positions in the Department are:

- **Attorneys.** Government-wide, attorneys (other than Assistant U.S. Attorneys, who are excepted by statute) are excepted from the competitive service by 5CFR 213.3102(d). Entry level attorneys are hired through the Attorney General's Honors Program at the GS-11/12/13 level and experienced attorneys are hired at grades GS-11 through GS-15 (these processes, coordinated by OARM, are outlined briefly in Appendix D). Hiring recommendations are made within the Divisions and approved by OARM.
- **DEA.** DEA has the authority to appoint Special Agents at grades GS-5 through GS-11. After three years employment, these employees may be converted to the competitive service. DEA also has the authority to appoint up to 150 Intelligence Research Agents and/or Intelligence Operations Specialists at grades GS-9 through GS-15.

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- **U.S. Trustees.** A Schedule B appointing authority may be used to appoint employees at grades GS-6 through GS-15, to positions (other than secretarial) which require knowledge of the bankruptcy process.
- **National Drug Intelligence Center.** A "Schedule A" appointing authority may be used to appoint employees to the Center.
- **ATF.** A "Schedule B" appointing authority may be used to appoint employees as GS-1811, Criminal Investigators (Special Agents) at the GS-5/7/9 grade levels and as GS-1801, Industry Operations Investigators at the GS-5/7/9 grade levels.
- **Other Positions.** As noted above, there are a number of excepted services authorities available to and used by Department components under general OPM regulation. Among the more common of these appointments are students and individuals with disabilities.

C. Competitive Service

Positions in the competitive service are filled through the appointment of individuals who have competed in examinations which are open to the public at large. These open examinations are administered by OPM or, in some cases, by agencies (including the Department) which have been delegated examining authority by OPM. Appointees are selected from among the best qualified as determined by the examination and applicable laws (such as veterans' preference) and regulations. A brief overview of the competitive appointment process can be found in Appendix E.

Among the larger groups of competitive service employees in the Department are:

- Clerical, administrative, and paralegal support staff in the litigating divisions;
- Similar staffs in the U.S. Attorneys' offices and the EOUSA;
- The majority of the staff of the Office of Justice Programs;
- The majority of the staff of the Bureau of Prisons, including correctional officers;
- The majority of the staff of the Drug Enforcement Administration, including most special agents;
- The majority of the staff of the U.S. Marshals Service, including Deputy U. S. Marshals; and
- The majority of the staff of the Bureau of Alcohol, Tobacco, Firearms and Explosives.

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DEPARTMENTAL ETHICS OFFICE

The Departmental Ethics Office, located in the JMD, is responsible for administering the Department-wide ethics program and for implementing Department-wide policies on ethics issues. The office provides advice and training directly to employees and supervises the ethics programs in all Department components. Each component has a Deputy Designated Agency Ethics Official ("Deputy DAEO") who is responsible for administering the ethics program within his or her component. The Departmental Ethics Office administers the public financial disclosure reporting system, including advising nominees for Senate-confirmed Presidential appointments (PAS), and working with the White House Counsel's Office and the Office of Government Ethics to ensure accurate reporting and resolve conflicts of interest.

The Departmental Ethics Website (<http://www.usdoj.gov/jmd/ethics>) contains guidance and practical information on a wide range of important topics, including conflicts of interest, outside employment, political activities, and financial disclosure, among others.

Questions on the Department's ethics program may be referred to the Departmental Ethics Office on (202) 514-8196. Questions concerning issues relating to professional responsibility, e.g., codes of ethics, ethical standards and obligations, should be directed to the Department's Professional Responsibility Advisory Office on (202) 514-0458.

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APPENDIX A

PAY SYSTEMS

1. General Schedule (GS)

The General Schedule (GS) is the 15-grade pay system which covers most administrative, professional, technical, and clerical positions. GS grade levels are based on the difficulty and responsibility of the work performed. Agencies are authorized to place (classify) individual positions in grade levels GS-1 through GS-15 in accordance with classification standards developed by OPM.

Each grade of the General Schedule has 10 pay levels or "steps". Initial appointments are generally made at the first step of the grade, although agencies may appoint individuals with superior qualifications at rates above the first step. This flexibility is designed to aid in competing with non-Federal employers in recruiting and retaining highly qualified candidates. Employees earn periodic within-grade increases based on longevity and performance.

Locality pay (i.e., locality-based comparability payments) is authorized under these pay systems to reduce pay disparities with non-Federal workers within each of the 32 defined locality pay areas.

The pay rates in the Washington-Baltimore, DC-MD-VA-WV, including St. Mary's County, MD, as of January 2009, which include a 2.90 percent General Schedule increase and locality payment of 23.10 percent, are:

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SALARY TABLE 2009-DCB
INCORPORATING THE 2.90% GENERAL SCHEDULE INCREASE AND A LOCALITY PAYMENT OF 23.10%
FOR THE LOCALITY PAY AREA OF WASHINGTON-BALTIMORE-NORTHERN VIRGINIA, DC-MD-VA-WV-PA
 (See <http://www.opm.gov/oca/09tables/locdef.asp> for definitions of locality pay areas.)
(TOTAL INCREASE: 4.78%)

EFFECTIVE JANUARY 2009

Annual Rates by Grade and Step

Grade	Step 1	Step 2	Step 3	Step 4	Step 5	Step 6	Step 7	Step 8	Step 9	Step 10
1	\$ 21,592	\$ 22,313	\$ 23,031	\$ 23,746	\$ 24,464	\$ 24,886	\$ 25,595	\$ 26,310	\$ 26,338	\$ 27,013
2	24,277	24,854	25,657	26,338	26,633	27,416	28,199	28,981	29,764	30,547
3	26,487	27,370	28,253	29,135	30,018	30,901	31,783	32,666	33,548	34,431
4	29,736	30,727	31,718	32,709	33,700	34,691	35,682	36,673	37,664	38,655
5	33,269	34,378	35,487	36,596	37,706	38,815	39,924	41,033	42,142	43,251
6	37,084	38,320	39,556	40,792	42,028	43,263	44,499	45,735	46,971	48,207
7	41,210	42,584	43,958	45,332	46,705	48,079	49,453	50,827	52,201	53,574
8	45,639	47,161	48,682	50,204	51,725	53,247	54,768	56,290	57,811	59,333
9	50,408	52,089	53,769	55,449	57,129	58,810	60,490	62,170	63,851	65,531
10	55,512	57,362	59,212	61,063	62,913	64,763	66,613	68,463	70,313	72,164
11	60,989	63,021	65,053	67,086	69,118	71,151	73,183	75,215	77,248	79,280
12	73,100	75,537	77,973	80,409	82,845	85,281	87,717	90,154	92,590	95,026
13	86,927	89,825	92,723	95,620	98,518	101,416	104,314	107,211	110,109	113,007
14	102,721	106,145	109,570	112,995	116,419	119,844	123,269	126,693	130,118	133,543
15	120,830	124,858	128,886	132,914	136,941	140,969	144,997	149,025	153,053	153,200 *

* Rate limited to the rate for level IV of the Executive Schedule (5 U.S.C. 5304 (g)(1)).

**SALARY TABLE (WASHINGTON, D.C., BALTIMORE, MD, NORTHERN VA)
EFFECTIVE JANUARY 2008**

Step	1	2	3	4	5	6	7	8	9	10
GS-1	\$20,607	\$21,295	\$21,980	\$22,662	\$23,347	\$23,750	\$24,427	\$25,110	\$25,137	\$25,779
GS-2	23,169	23,720	24,486	25,137	25,417	26,164	26,911	27,658	28,406	29,153
GS-3	25,279	26,122	26,965	27,807	28,650	29,492	30,335	31,178	32,020	32,863
GS-4	28,379	29,325	30,272	31,219	32,165	33,112	34,058	35,005	35,951	36,898
GS-5	31,751	32,808	33,866	34,924	35,982	37,039	38,097	39,155	40,213	41,271
GS-6	35,392	36,572	37,752	38,931	40,111	41,291	42,471	43,651	44,831	46,011
GS-7	39,330	40,641	41,951	43,262	44,572	45,883	47,193	48,503	49,814	51,124
GS-8	43,557	45,009	46,460	47,912	49,364	50,816	52,268	53,720	55,172	56,624
GS-9	48,108	49,712	51,317	52,921	54,525	56,129	57,733	59,338	60,942	62,546
GS-10	52,979	54,745	56,511	58,277	60,044	61,810	63,576	65,342	67,108	68,875
GS-11	58,206	60,146	62,087	64,027	65,967	67,908	69,848	71,788	73,728	75,669
GS-12	69,764	72,090	74,416	76,742	79,068	81,394	83,720	86,046	88,372	90,698
GS-13	82,961	85,727	88,493	91,259	94,025	96,791	99,557	102,323	105,088	107,854
GS-14	98,033	101,301	104,569	107,836	111,104	114,372	117,639	120,907	124,175	127,442
GS-15	115,317	119,161	123,006	126,850	130,694	134,538	138,383	142,227	146,071	149,000

TRANSITION
2008-2009

2. ATF Demonstration Project (PD)

The Demonstration Project was implemented within ATF on January 16, 2000, with 255 employees (out of 288 eligible) electing to participate. The Demonstration Project is a pilot pay banding and performance management system for critical scientific and technical positions. In passing this legislation, Congress was responding to a long-standing concern of ATF to recruit and retain highly qualified scientific and technical employees needed to help ATF accomplish its mission. There are currently close to 300 ATF employees participating in the Demonstration Project.

The Demonstration Project is comprised of a number of pay strategies to include: pay increases for performance, financial rewards for job-related degrees, certificates and licenses, recruitment, relocation and retention bonuses, and greater career opportunities for high performers.

A pay banding classification system was established to replace the current General Schedule (GS) classification system. All positions within the Demonstration Project have an official pay plan designator of PD (e.g., PD-0511-02) to replace the GS designator. OPM classification standards and guides are used as the criteria for developing and classifying positions under the Demonstration Project.

Four pay bands have been established for positions covered by this authority and are structured to include the grade level equivalents. Each pay band represents a broad level of work with an associated range of pay. The minimum rate of pay under the Demonstration Project is equivalent to a GS-5/1 and the maximum rate of pay is level III of the Executive Schedule. Control points, terciles and zones - have been established to distinguish between levels of work, to regulate an employee's rate of progression, and used to calculate the percentages for annual payouts. Performance payouts are based upon an assigned performance rating with an affixed payout percentage and are applied to an employee's base salary or given as a lump sum, as appropriate.

Pay Band I:	\$27,026 - \$61,260 - (Entry/developmental)
Pay Band II:	\$49,544 - \$79,896 - (Full performance, Non IT) \$86,291 - (Full performance, IT)
Pay Band III:	\$70,615 - \$91,801 - (Zone 1) \$91,802 - \$111,195 - (Zone 2)
Pay Band IV:	\$98,156 - \$127,604 - (Zone 1) \$127,605 - \$162,900 - (Zone 2)

(Base Salaries, Locality Pay is added)

TRANSITION
2008-2009

3. Executive Schedule (EX)

The Executive Schedule applies to certain key positions filled by Presidential appointees as defined in Chapter 53 of Title 5, United States Code. The Schedule contains five rates of pay. An annual adjustment is generally made to each pay level, although pay adjustments have occasionally been cancelled by statute. The current rates of the Executive Schedule, as of January 2009, are as follows:

Level V	\$143,500
Level IV	\$153,200
Level III	\$162,900
Level II	\$172,200
Level I	\$196,700

4. Senior Executive Service (ES)

The SES is a "gradeless" system based on the concept of *rank in the person*, rather than *rank in the job*. By law, the base pay for SES may not exceed the pay for EX-III (currently \$162,900) of the Executive Schedule, unless the agency has full or provisional certification of their performance systems from the Office of Personnel Management and the Office of Management and Budget. Then SES pay may reach EX-II (currently \$177,000) of the Executive Schedule. Total SES compensation may not exceed the pay for EX-I (currently \$196,700) of the Executive Schedule for noncertified performance systems. Total SES compensation may not exceed the pay for the Vice President's salary (\$227,300) for certified performance systems (full or provisional). The SES pay range for noncertified performance systems is \$117,787 to \$162,900. The SES pay range for certified performance systems has a higher cap of \$177,000. These pay ranges adjust annually based on the increase to the General Schedule and Executive Schedule. An SES member's pay may be adjusted (increased or decreased) no more than once in a year, without an Attorney General (or his designee) waiver.

5. Senior Level (SL)

The Senior Level (SL) pay system is a broad pay band system for positions that exceed the level of difficulty and responsibility found at the GS-15 level but which lack the administrative or managerial aspects or are filled with Presidential appointees that exclude them from inclusion in the SES. As in the case of SES positions, the number of SL positions in the Department is subject to OPM and OMB approval.

At present, there are 123 SL positions in the Department. The SL pay range is tied to the GS and Executive pay schedules and is capped at Executive Schedule III (\$162,900) as of January 2009. However, effective April 2009, the SL pay range will be adjusted to reflect a range up to Executive Schedule II (currently \$177,000 under a certified performance system).

TRANSITION
2008-2009

6. Administratively Determined Pay

The pay of certain positions is administratively determined (AD), i.e., set by administrative action under specific statutory authority. In the Department, the pay of U.S. Attorneys, Assistant U.S. Attorneys, U.S. Trustees, Assistant U.S. Trustees, Special Attorneys, and Special Assistant to the Attorney General is set by the Attorney General under specific provisions of Title 28, United States Code. The pay for expert and consultant positions (pay plans ED, EE, EF) is also administratively determined. Discretion in setting administratively determined pay is limited by the specific authorizing statute and/or provisions of Title 5, United States Code.

The AD pay plan in the United States Attorneys' office is a discretionary compensation system established by law which allows the Attorney General to set pay at a rate not to exceed Executive Level IV of the Executive Schedule. The AD pay plan is a rank-in-person compensation system with a heavy emphasis on performance which covers approximately 5,500 Assistant United States Attorneys (AUSAs) located throughout the United States, in Guam, Puerto Rico, and the U.S. Virgin Islands.

Basic pay is set at any point on a "recruitment range" of pay appropriate to the needs of the United States Attorney's office as recommended by the United States Attorney. Basic pay is increased by the same locality rate as applies to the General Schedule in the geographic area. Supervisory AUSAs, and Senior Litigation Counsel (SLC) AUSAs, are paid from a separate AD pay schedule.

For the Executive Office of U.S. Trustees, salary is set in statute not to exceed EX-IV however, through delegated authority; the DAG sets Trustees salary at \$2,500 below EX-IV, currently \$150,700 per annum.

7. Law Enforcement Pay

Federal law provides special salary rates (in contrast to, and are significantly higher than the General Pay schedule) to certain Federal employees who serve in law enforcement. Eligible law enforcement officers receive law enforcement availability pay (LEAP)'s equal to 25 percent of the agent's grade and step, awarded because of the large amount of overtime that these agents are expected to work.

8. Federal Wage System

The Federal Wage System (pay plans Wage Grade (WG), Wage Leader (WL), and Wage Supervisor (WS)) covers employees in "blue collar" trades, crafts, and labor occupations. Employees are paid hourly rates of pay under local wage schedules which are developed based on industry wages for similar jobs in the same geographic area. Job classification is based on OPM established job grading standards which take into account such factors as skill and knowledge requirements and working conditions.

TRANSITION
2008-2009

9. Administrative Law Judge (ALJ) System

The Department employs ALJs in the Drug Enforcement Administration and in the Executive Office for Immigration Review (EOIR) who are covered by this distinct longevity-based pay system (pay plan AL). This pay system has three levels; non-supervisory ALJs are paid at one of the steps of level AL-3. The current rates of pay for the Washington, DC metropolitan area (Arlington, Virginia and Baltimore, Maryland) are as follows:

AL-3	Step A	\$126,054
AL-3	Step B	\$135,533
AL-3	Step C	\$145,381
AL-3	Step D	\$154,983
AL-3	Step E	\$162,900
AL-3	Step F	\$162,900
AL-2		\$162,900
AL-1		\$162,900

10. Immigration Judge (IJ) Pay System

Immigration Judges in the Executive Office for Immigration Review are compensated under the IJ pay system which varies by locality. This system has four pay levels which are tied to the Level IV of the Executive Schedule. The current rates of pay for the Washington DC metropolitan area (Arlington, Virginia and Baltimore, Maryland) are as follows:

IJ-1	\$132,012 - new appointee
IJ-2	\$150,871 - 2 years of service at IJ-1
IJ-3	\$162,900 - 2 years of service at IJ-2
IJ-4	\$162,900 - 1 year of service at IJ-3

Locality pay is capped at Executive Level III (\$162,900).

TRANSITION
2008-2009

11. Overseas Employees

The Overseas Employees (OE) pay system covers noncitizens hired by the Department of State to provide services to the Department of Justice components which have offices overseas. The Drug Enforcement Administration is the only component which currently has such employees.

12. Volunteers

Title 5 U.S.C. 3111 authorizes the acceptance of volunteer service. Notwithstanding section 1342 of Title 31, the head of an agency may accept, subject to regulations issued by OPM, voluntary service for the United States if the service: (1) is performed by a student, with the permission of the institution at which the student is enrolled, as part of an agency program established for the purpose of providing educational experiences for the student; (2) is to be uncompensated; and (3) will not be used to displace any employee. Volunteers are designated by pay plan ZZ and are Federal employees only for injury compensation and tort claims purposes.

TRANSITION
2008-2009

APPENDIX B

DOJ PRESIDENTIAL APPOINTMENTS

POSITION	NO.	PAY SYSTEM & LEVEL	SALARY	STATUTORY AUTHORITY	REMARKS
Attorney General	1	EX-I	\$196,700	28 USC 503	
Deputy Attorney General	1	EX-II	177,000	28 USC 504	
Associate Attorney General	1	EX-III	162,900	28 USC 504A	
Solicitor General	1	EX-III	162,900	28 USC 505	
Assistant Attorneys General	10*	EX-IV	153,200	28 USC 506, including AAG for the National Security Division (28 USC 507A) and the AAG for the Office of Justice Programs (42 USC 3711)	*An additional position, the Assistant Attorney General for Administration is a career reserved position in the Senior Executive Service.
U.S. Attorneys	77**	AD (Pay of U.S. Attorneys is equivalent to EX- IV.)	153,200		**The Department has 93 U.S. Attorneys - 77 are presidentially appointed, 15 are court appointed, and one is appointed by the Attorney General.
U.S. Marshals	27 65***	SL or GS-15	Varied Varied		***The Department has 93 U.S. Marshals who cover 94 judicial districts. One U.S. Marshal covers both Guam and Northern Mariana Islands. Of the 93 Marshals, 92 are presidentially appointed, and the U.S. Marshal for the Virgin Islands is appointed by the Attorney General. That position is currently in the General Schedule. four year term

TRANSITION
2008-2009

POSITION	NO.	PAY SYSTEM & LEVEL	SALARY	STATUTORY AUTHORITY	REMARKS
Chair, U.S. Parole Commission Members	1 4	EX-IV EX-V	153,200 143,500	18 USC 4202	Six year term
Chair, Foreign Claims Settlement Commission Members	3	EX-V	143,500	5 USCA app.1, Reorg. Plan 1 of 1954, sec. 1	
Director, Federal Bureau of Investigation	1	EX-II	177,000	28 USC 532	10 year term
Director, U.S. Marshals Service	1	EX-IV	177,000	28 USC 561.a	
Inspector General	1	EX-IV	153,200	5 USC app.3, sec.3	
Administrator, Drug Enforcement Administration	1	EX-III	162,900	5 USCA app.2. Reorg. Plan No 2 of 1973 sec 5(A)	
Deputy Administrator	1	EX-IV	153,200	Id.sec 5(b)	
Director, Bureau of Alcohol, Tobacco, Firearms and Explosives	1	EX-III	162,900	28 USC 599A(a)(2)	
Director, Community Relations Service	1	EX-IV	153,200	42 USC 2000g (transfer of function to DOJ, id.note)	4 year term

TRANSITION
2008-2009

POSITION	NO.	PAY SYSTEM & LEVEL	SALARY	STATUTORY AUTHORITY	REMARKS
Administrator, Office of Juvenile Justice and Delinquency Prevention	1	EX-IV	153,200	42 USC 3741(b)	
Director, National Institute of Justice	1	EX-IV	153,200	42 USC 3722(b)	
Director, Bureau of Justice Statistics	1	EX-IV	153,200	42 USC 3732(b)	
Director, Bureau of Justice Assistance	1	EX-IV	153,200	42 USC 3741(b)	
Director, Office for Victims of Crime	1	EX-IV	153,200		
Director, Office on Violence Against Women	1	EX-IV	153,200	42 USC 379gg-)a(b)	
Special Counsel for Immigration Related Unfair Employment Practices	1	SL	Varied	8 USC 1324b(c)(1)	Four Year Term
Total Presidential Appointees	205				

APPENDIX C

SENIOR EXECUTIVE POSITIONS

Component	SES Established	SES On Board
Office of the Attorney General	4	1
Office of the Deputy Attorney General	12	4
Office of the Associate Attorney General	5	3
Office of the Solicitor General	4	4
Justice Management Division	30	25
Antitrust Division	30	24
Civil Division	38	36
*Civil Rights Division	18	16
*Criminal Division	40	32
Environment and Natural Resources Division	21	21
National Drug Intelligence Center	2	2
*National Security Division	17	9
Office of Community Oriented Policing Services	1	1
Office of Information And Privacy	2	1
Office of Intergovernmental And Public Liaison	1	1
Office of Legislative Affairs	5	4
Office of Legal Counsel	9	7
Office of Legal Policy	5	2
Office of Professional Responsibility	2	2
Office of Public Affairs	1	1
Office of Federal Detention Trustee	1	1
Office of The Pardon Attorney	1	1
Office on Violence Against Women	0	0
Professional Responsibility Advisory Office	1	1
Tax Division	20	17
Office of The Inspector General	8	5
*Bureau of Alcohol, Tobacco, Firearms and Explosives	51	48
Bureau of Prisons	84	83
Executive Office for Immigration Review	8	5
*Executive Office for the United States Attorneys	12	5
Executive Office for U.S. Trustees	4	3
Office of Justice Programs	21	18
U.S. Marshals Service	17	9

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2008-2009

APPENDIX C

SENIOR EXECUTIVE POSITIONS

CONTINUED

Component	SES Established	SES On Board
Community Relations Service	0	0
Foreign Claims Settlement Commission	0	0
Office of Dispute Resolution	1	0
*Regime Crimes Liaison Office	3	3
United States Parole Commission	0	0
Total OPM SES Allocations	479	395
Federal Bureau of Investigation	287	252
Drug Enforcement Administration	79	70
Total FBI/DEA OMB SES Allocations	366	322
Total SES Vacancies:	128	

**Floated (temporary) Positions as of October 10, 2008*

ATF 1 EOUSA 1

CRM 3 NSD 1

CRT 1 RCLO 3

TRANSITION
2008-2009

APPENDIX D

ATTORNEY HIRING

All career attorney positions in the Department are excepted service, Schedule A appointments. There are approximately 10,000 career attorneys in the Department. More than 4,500 are Assistant United States Attorneys.

Entry-level attorneys are hired through the Attorney General's Honors Program unless OARM approves an exception to policy. All other attorney hires are considered lateral (experienced) hires. Lateral applicants must possess a Juris Prudence degree (J.D.), be an active member of the bar (any jurisdiction), and have at least one year of post J.D. degree experience.

OARM administers the Attorney General's Honors Program, develops policy related to the Department's lateral attorney hiring, and supports Department-wide recruitment efforts. OARM also manages the Summer Law Intern Program and the Volunteer Legal Intern Program. Finally, OARM implemented and currently manages the Department's Diversity Initiative for attorneys.

All attorney hires are subject to a full field FBI background investigation and final adjudication of their suitability, as well as national security adjudication by SEPS.

LEGAL RECRUITMENT

1. Attorney General's Honors Program, Summer Law Intern Program and Volunteer Legal Intern Program

The Attorney General's Honors Program is the most prestigious and largest entry-level recruitment program of its kind nationwide. Since 1953, it has served as the Department's recruitment program for third-year law students, graduate law students, legal fellows, and Judicial Law Clerks. The Department hires approximately 150 attorneys a year through this Program. The Summer Law Intern Program provides compensated positions to approximately 100 law students a year. The Volunteer Legal Intern Program provides approximately 800 uncompensated positions to law students during the academic year and approximately 1,000 during the summer.

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2008-2009

In addition to the litigating divisions, the Executive Office for Immigration Review, the Federal Bureau of Prisons, the U.S. Trustee's Offices, Administrative Law Judges of the Drug Enforcement Administration, and the Bureau of Alcohol, Tobacco, Firearms and Explosives participate in the Honors Program. The aforementioned offices, the Office of the Solicitor General, and the Office of Legal Counsel participate in the Summer Law Intern Program. In the past several years, various U.S. Attorneys' Offices and the Executive Office for U.S. Attorneys have participated in Honors Program as well.

In 2002, the Honors Program and Summer Law Intern Program application process was converted to an online process. The application deadline for both Programs is in early September and new attorneys generally enter on duty the following fall.

2. Lateral Attorney Recruitment

The Department hires approximately 800 lateral attorneys each year. While OARM offers promotional and recruitment support for lateral attorney recruitment, the actual selection of lateral attorneys is decentralized in the organizations. All attorney vacancies are advertised on the Department's website at: <http://www.usdoj.gov/oarm/attvacancies.html>, and the OARM website serves as the central source of public information about legal employment eligibility for lateral attorneys. The Department is exploring an online application process for the lateral attorneys, similar to the one currently in use for the Attorney General's Honors Program.

To generate interest in the Department among excellent and diverse attorney candidates, OARM annually attends national bar association conferences and job fairs.

DIVERSITY INITIATIVES

The President's Management Agenda enumerates many goals, including the strategic management of human capital. Consistent with this goal, on February 5, 2003, the Attorney General and Deputy Attorney General announced a series of initiatives to strengthen the Department's attorney workforce by intensifying outreach to individuals from a broad range of racial, ethnic, economic, and geographic backgrounds, and to create incentives to enter and remain in public service.

TRANSITION
2008-2009

OARM was directed among other things to:

- Conduct outreach to educate law students and lawyers about the benefits of a career at the Department of Justice to broaden the Department's pool of well-qualified applicants;
- To make information about attorney and supervisory vacancies more transparent and accessible to both attorneys outside the Department and to current Department personnel by public and internal postings;
- Utilize existing legal authority to assist with the repayment of student loans for qualifying new attorneys entering the Department under the Honors Program or laterally, and as a mechanism to retain experienced attorneys;
- Institute a mentor program for all incoming attorneys; and,
- Conduct exit interviews with all voluntarily departing attorneys to assist retention efforts.

TRANSITION
2008-2009

APPENDIX E

COMPETITIVE SERVICE HIRING

The principle underlying the competitive civil service is that initial appointment must result from competition in examinations open to the public at large. Whether through a written test or a paper review of qualifications, candidates are rated and ranked based on certain objective criteria related to the type of position to be filled.

The result of the examination process is a civil service "register" – a listing of the qualified applicants. From the register, a short list of names (a Certificate of Eligibles) is issued to fill a vacancy. The certificate lists the candidates in order of their scores on the examination, adjusted for the veterans preference to which they may be entitled. There are strict rules governing the order of selection from certificates.

Open competitive examinations are administered by OPM and by agencies to which OPM has delegated examining authority. Where agencies have been delegated authority by OPM, they are bound by OPM's regulations and practices concerning examinations.

After competitive appointment, an employee must serve a one-year probationary period to determine fitness for Federal service. During that time, the probationer may be dismissed without significant procedural protections. After three years, an appointee acquires "career tenure" and may, after leaving Federal service, reenter the Federal workforce without further examination or competition, a process called "reinstatement". Veterans acquire lifetime eligibility for reinstatement upon initial appointment.

Vacant positions can be filled by requesting a certificate of eligibles from OPM, through agency case examining, reinstatement, or other special appointing authorities such as the Veterans Readjustment Authority. Another alternative is the "merit promotion" process, which extends the concept of open competition to certain competitive service promotions. Through an adaptation of the examination process, agencies solicit and review the applications of interested candidates and create certificates of eligibles that may be selected to fill vacant positions.

The selection of one means of filling a vacancy over another is driven by a number of factors, including the type and grade level of the position to be filled and past experience with recruitment for the occupation. It is not unusual for several avenues to be pursued simultaneously.

On April 12, 1996, the Career Transition Assistance Plan (CTAP) became effective. CTAP ensures that eligible surplus and displaced employees, who apply for positions in the competitive service, for which they are determined well-qualified are placed in such positions. CTAP does not apply to positions or vacancies in the excepted service. Selecting officials may not have the flexibility to fill positions in the competitive service, due to CTAP provisions.

TRANSITION
2008-2009

OPM TRANSITION GUIDE AND 2008 "PLUM BOOK"

OPM Transition Guide:

OPM issued a guide for Federal agencies in June 2008 to facilitate the transition to a new Presidential Administration. This guide provides general information and addresses issues that relate to departing employees, newly-appointed employees, and the career civil service. It also contains information on pay flexibilities such as advance payments, above the minimum rates, preemployment interviews, recruitment and relocation bonuses, and retention allowances; leave administration (annual and sick leave, family and medical leave, voluntary leave transfer, leave bank, military leave); retirement, health, and life insurance coverage. You may access the guide at the following URL: <http://www.chcoc.gov/transmittals/Index.aspx>.

2008 "Plum Book:"

Published by the Senate Committee on Governmental Affairs and the House Committee on Government Reform alternately after each Presidential election, the Plum Book lists over 7,000 Federal civil service leadership and support positions in the legislative and executive branches of the Federal Government that may be subject to noncompetitive appointment, nationwide. The duties of many such positions may involve advocacy of Administration policies and programs and the incumbents usually have a close and confidential working relationship with the agency or other key officials. As transition nears, the data for the Plum Book is ever changing. Agencies (to include the Department of Justice) report data up to September 30, 2008, for the Plum Book. The estimated OPM final data collection and subsequent publish date is late November.

The major categories of positions listed in United States Government Policy and Supporting Positions include:

- Executive Schedule and salary-equivalent positions paid at the rates established for levels I through V of the Executive Schedule; mainly, our AAGs, U.S. Attorneys, etc.
- Senior Executive Service "General" positions. Many of DOJ's DAAG positions as well as Principal DAAG positions are designated as General, normally incumbered by noncareer executives. "Career Reserved" SES positions are NOT published in the Plum Book.
- Schedule C positions excepted from the competitive service by the President, or by the Director, Office of Personnel Management. They are GS-15 and below or Senior Level positions with duties of a confidential or policy determine nature.

TRANSITION
2008-2009

APPENDIX G

TABLE OF DELEGATIONS EMPLOYMENT

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
Intergovernmental Personnel Act assignments	Retained by the DAG	Human Resources Order 1200.1 (HRO) Part 1, Chapter 1, Intergovernmental Personnel Act Assignments	May be redelegated
Reemployment of retirees without loss of pay or annuity to meet exceptional employment needs	Retained by OPM	5 CFR Part 553; HRO Part 1, Chapter 2, Reemployment of Retirees Without Penalty to Meet Exceptional Employment Needs	May not be redelegated
Reemployment of retirees without loss of pay or annuity to meet exceptional employment needs under the 9/11 terrorist attack authority	Component Head	OPM granted the delegation to the Heads of Departments and Agencies on September 13, 2001. The AG redelegated the authority to the Heads of the following Components: EOUSA, FBI, DEA, USMS, BOP, ATF and JMD and OBDs (August 29, 2003)	May not be redelegated
Determination of length of probationary period for managers who served in positions with supervisory and managerial responsibilities	Bureau Personnel Officers	HRO Part 1, Chapter 5, Probationary Period for Supervisors and Managers in the Competitive Service	May be redelegated
Exceptions to the maximum entry age for LEOs	Component Head	HRO Part 1, Chapter 6, Maximum Entry Age and Mandatory Retirement of LEOs; delegation from the Attorney General (Jun. 4, 1991); delegation to Heads of Components with LEOs from the AAG/A (March 5, 2003)	May not be redelegated

APPENDIX G

TABLE OF DELEGATIONS EMPLOYMENT (CONTINUED)

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
Approval of waivers to the maximum entry age of LEOs for BOP psychologists up to age 40; BOP physician's assistants, nurses, nurse practitioners, medical and dental officers, Catholic Chaplains, Islamic Chaplains, and Jewish Rabbis; USMS LEOs up to age 40 .	For BOP, Director, BOP; for USMS LEOs, Director, USMS	HRO, Part 1, Chapter 6, Maximum Entry Age and Mandatory Retirement of LEOs; delegation to the Director, BOP, from the AAG/A for: Catholic Chaplains (Aug. 13, 1976), Islamic Chaplains (Sep. 27, 1988); physicians assistant (Mar. 21, 1989); nurses and psychologists (Jan. 10, 1994); Jewish Rabbis (Aug. 1, 1994); medical and dental officers (March 16, 1998); nurses and nurse practitioners (March 28, 2000) delegation to the Director, USMS, from the AAG/A for USMS LEOs (Dec. 22, 1997)	May not be redelegated
Exceptions to the mandatory retirement of LEOs	Component Head	HRO, Part 1, Chapter 6, Maximum Entry Age and Mandatory Retirement of LEOs; delegation from the Attorney General (Jun. 4, 1991); delegation to Heads of Components with LEOs from the AAG/A (March 17, 2003)	May not be redelegated
Exceptions to the mandatory retirement of LEOs for DEA Special Agents; up to 20 FBI LEO SES members; FBI non-SES Special Agents	For DEA Special Agents, the Administrator, DEA; for FBI LEO SES Members and Non-SES Special Agents, the Director, FBI	HRO, Part 1, Chapter 6, Maximum Entry Age and Mandatory Retirement of LEOs; delegation to the Administrator, DEA, from the Attorney General (Nov. 17, 1997); delegation to the Director, FBI, from the Attorney General (Jun. 4, 1991 (SES) and Aug. 29, 1995)	May not be redelegated
Employment of experts and consultants	Component Head	HRO, Part 1, Chapter 7, Employment of Experts and Consultants	May be redelegated

TRANSITION
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APPENDIX G

TABLE OF DELEGATION COMPENSATION

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
Classification of GS positions and wage jobs, except for attorney and law student positions	Bureau Head	28 CFR 0.15(b)(1); 0.76(o); 0.137; 0.138; 0.159	May be redelegated
Classification of GS attorney and law student positions	Component Head	28 CFR 0.15(c) and (e); 0.19(a)(1); delegation from DAG to OARM (Mar. 28, 1994) delegation from Assoc. AG (Mar. 23, 1998) delegation from OARM to Component Head (Feb. 23, 2000)	May be redelegated
Compensatory time	Bureau Head	HRO Part 2, Chapter 3, Hourly Compensation for Overtime Work	May be redelegated
Non-special salary rate as highest previous rate (non- attorneys)	Appointing Officers	HRO Part 2, Chapter 2, Highest Previous Rate	May not be redelegated
Special salary rate as highest previous rate (non-attorneys)	Bureau Head	HRO Part 2, Chapter 2, Highest Previous Rate	May be redelegated.
Highest previous rate (attorneys)	Bureau General Counsels or OBD Heads	Attorney Personnel Memorandum 97-10 (June 30, 1997)	May be redelegated
Recruitment and relocation incentives	Bureau Head, except for the following: DAG for Executive Schedule, and Administratively Determined pay systems; Immigration Judges; and Presidential appointees. Bureau General Counsels or OBD Heads for attorneys and law clerks.	5 CFR part 575; HRO Part 2 – Compensation, Chapters 5a and 5b	May be redelegated

APPENDIX G

TABLE OF DELEGATION COMPENSATION (CONTINUED)

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
Retention incentives Note: Retention incentives may NOT be paid on a group or category basis to Executive Schedule, SES, or senior level employees; Presidential appointees; U.S. Trustees; and Immigration Judges. OPM must approve payment of retention incentives of more than 10 percent to a group or category of employees.	Bureau Head, except for the following: DAG for Executive Schedule, SES, Administratively Determined, and Sr. Level pay systems; Immigration Judges; and Presidential appointees. Bureau General Counsels or OBD Heads for attorneys and law clerks.	5 CFR part 575; Human Resources Order 1200.1, Part 2 – Compensation, Chapter 6	May be redelegated
Foreign language awards	Bureau Head	5 U.S.C. 4523; HRO Part 2, Chapter 8, Foreign Language Awards	May be redelegated to a level no lower than the Bureau Personnel Officer
Supervisory Differentials	Bureau Head	HRO Part 2, Chapter 9, Supervisory Differentials	May be redelegated to a level no lower than the Bureau Personnel Officer
SL pay-setting up to and including the maximum rate, except for noncareer-type and FBI and DEA employees	Component Head	28 CFR 0.15; delegations from the DAG (Dec. 29, 1999) effective March 1, 2000; HRO Part 2, Chapter 10, Pay for Senior Level Positions	May not be redelegated
SL pay-setting for FBI and DEA employees up to the maximum SL rate, except for noncareer-type employees and employees who report directly to the Director, FBI or the Administrator or Deputy Director, DEA	The Director, FBI; the Administrator, DEA	Same as above	May not be redelegated

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APPENDIX G

TABLE OF DELEGATION COMPENSATION (CONTINUED)

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
SL pay-setting not covered by one of the delegations of SL pay-setting authority above	Retained by DAG	Same as above	May not be redelegated
Student Loan Repayment	Bureau Head for GS and prevailing rate (wage), except Bureau General Counsels or OBD Heads for attorneys and law clerks. DAG for other eligible categories.	28 CFR 0.76(o), 0.77, 0.79, 0.138, and 0.159; 5 CFR part 537; HRO Part 2, Chapter 12, Student Loan Repayment; delegation from the DAG to the Director, OARM (August 16, 2001); OARM Memorandum #01-16 (November 29, 2001)	May be redelegated
Advance payments to new appointees	Component Head, except: DAG for SES, Executive Schedule (except AG for Director and Deputy Director, FBI), Senior Level, Immigration Judges, Presidential appointees; and Bureau General Counsel or OBD heads for attorneys and law clerks	28 CFR 0.15, 0.76(o), 0.77, 0.79, 0.138, 0.157(c) and 0.159; 5 CFR Part 550, Subpart B; HRO Part 2, Chapter 13, Advance Payments to New Appointees; OARM Memorandum #02-01 (February 22, 2002)	Except for SES, Executive Schedule, Senior Level, Immigration Judges, Presidential appointees, and Director/Deputy Director, FBI, may be redelegated
Hostile fire pay	Bureau Head, except AAG/A for non-career SES, non-career type SL, component heads, and key executive positions.	AG Order No. 2670-2003 (April 30, 2003); HRO Part 2, Chapter 14, Hostile Fire Pay	May not be redelegated
Premium Pay Limitations (Emergency determinations under 5 U.S.C. 5547(b)(1))	AAG/A	28 CFR 0.76(f), AG Order No. 2635-2002, November 29, 2002; HRO Part 2, Chapter 14, Premium Pay Limitations	May not be redelegated

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Appendix G

TABLE OF DELEGATION COMPENSATION (CONTINUED)

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
Premium Pay Limitations (Mission-critical determinations under 5 U.S.C. 5547(b)(3))	Bureau Heads	28 CFR 0.76(f), AG Order No. 2635-2002, November 29, 2002; HRO Part 2, Chapter 14, Premium Pay Limitations	May not be redelegated
Authority to Waive 5 U.S.C. 5547 Premium Pay Limitation for Certain Work Performed Overseas for Calendar Year 2008	Component Head. (Approval of delegated authority is subject to approval by the Attorney General (AG) each year.)	Attorney General (AG) Order No. 2981-2008 28 U.S.C. sections 509 and 510, and P.L. 109-163, section 1105 (2006), <i>as amended by</i> P.L. 109-364, section 1105 (2006), <i>and by</i> P.L. 110-181, section 1101 (2008)	May no be redelegated
Department classification appeal decisions	Director, Human Resources, JMD	28 CFR 0.76(o) and 0.138; HRO Part 2, Chapter 15; and delegation from the Director, OARM to the Director, Human Resources, JMD (5-14-03)	May not be redelegated
Awards--Approval of cash awards up to \$7,500 (non-attorneys) except SES	Component Head	28 CFR 0.143	May be redelegated
Awards--Approval of cash awards up to \$7,500 for attorneys, law clerks, and law students, GS-15 and below, or equivalent	Component Head	Delegation from the DAG to the Director, OARM (August 16, 2001); OARM Memorandum 95-18 (November 30, 1995)	May be redelegated
Awards--Approval of cash awards above \$7,500 up to \$10,000	Retained by Attorney General	28 CFR 0.11(a)	May be redelegated
Awards--Approval of cash awards above \$10,000 up to \$25,000	Retained by OPM	5 U.S.C. 4502	May not be redelegated

APPENDIX G

TABLE OF DELEGATION COMPENSATION (CONTINUED)

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
Awards-Approval of all Superior Accomplishment Awards (Special Act or Service) up to \$5,000 for SL	Retained by the Deputy Attorney General	Delegations from the DAG (Dec. 29, 1999) effective March 1, 2000, Performance Management for the SES and SL	May not be redelegated
Approval of time-off as an incentive award (except SES)	Component Head	28 CFR 0.138	May be redelegated
Administrative Leave	Component Head	DOJ Order 1630.1B, Leave Administration, Chapter 14 (Jul. 22, 1991)	May not be redelegated
Administrative Leave of more than 10 work days	AAG/A or designee	DOJ Order 1630.1B, Leave Administration, Chapter 14 (Jul. 22, 1991) AAG/A memorandum (Sep. 27, 2002)	May not be redelegated

APPENDIX G

TABLE OF DELEGATION LABOR/EMPLOYEE RELATIONS

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
Discipline and adverse actions	Bureau Head	HRO Part 3, Chapter 1, Discipline and Adverse Actions	May be redelegated

WORKFORCE DEVELOPMENT

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
Authority to select, assign, and pay for training for employees, except Presidential appointees	Bureau Head	28 CFR 0.153	May be redelegated
Authority to designate Presidential appointees for training	Retained by the AG	5 CFR 410.302 and E.O.11895	May not be redelegated
Payment of expenses for credentials, accreditation, licenses, certification, and examinations Note: Expenses may NOT be paid on behalf of any employee occupying or seeking to qualify for appointment to any position that is excepted from the competitive service because of the confidential, policy-determining, policy making, or policy-advocating character of the position, or any attorney position	Component Head for GS and Prevailing Rate employees; DAG for SES and equivalent employees	28 CFR 0.75, 0.76(o), 0.77, 0.79, and 0.138; HRO Part 5, Chapter 2, Payment of Expenses for Credentials, Accreditation, Licenses, Certification, and Examinations	May be redelegated

APPENDIX G

TABLE OF DELEGATION

SENIOR EXECUTIVE SERVICE

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
Approval of SES performance appraisals, except for OIG SES employees and key career executives	Component Head	28 CFR 0.15; delegations from the DAG (Dec. 29, 1999) effective March 1, 2000	May not be redelegated
Approval of SES performance appraisals for key career executives	Retained by DAG	Same as above	May not be redelegated
Approval of SES performance appraisals for OIG SES employees	Inspector General	P.L. 95-452, Oct. 12, 1978, and delegation from the Attorney General (Apr. 24, 1990)	May not be redelegated
Awards-Approval of all performance awards, i.e., bonuses for SES	Retained by the Deputy Attorney General	Delegations from the DAG (Dec. 29, 1999) effective March 1, 2000, Performance Management for the SES and SL	May not be redelegated
Awards-Approval of all Superior Accomplishment Awards (Special Act or Service) up to \$7,500 for SES	Retained by the Deputy Attorney General	Delegations from the DAG (Dec. 29, 1999) effective March 1, 2000, Performance Management for the SES and SL	May not be redelegated
Grant most formal determinations	Agency Designee (See HRO Part 11, Chapter 1, paragraph C.2.)	HRO Part 11, Chapter 1, Procedures for Complying with Ethics Requirements	May be redelegated in writing

APPENDIX G

TABLE OF DELEGATION

ETHICS

AUTHORITY	DELEGATION	SOURCE	REDELEGATION
Waive prohibitions on certain outside employment	Deputy Attorney General	HRO Part 11, Chapter 1, Procedures for Complying with Ethics Requirements	May be redelegated in writing
Approve outside employment related to duties	Agency Designee (See HRO Part 11, Chapter 1, paragraph C.2.)	HRO Part 11, Chapter 1, Procedures for Complying with Ethics Requirements	May be redelegated in writing
Certify public financial disclosure reports	Agency Designee (See HRO Part 11, Chapter 1, paragraph C.2.)	HRO Part 11, Chapter 1, Procedures for Complying with Ethics Requirements	May be redelegated in writing
Grant first 45-day extension to file public financial disclosure reports	Agency Designee (See HRO Part 11, Chapter 1, paragraph C.2.)	HRO Part 11, Chapter 1, Procedures for Complying with Ethics Requirements	May be redelegated in writing
Certify confidential financial disclosure reports	Reviewing Official with knowledge of employee's assignments	HRO Part 11, Chapter 1, Procedures for Complying with Ethics Requirements	May be redelegated in writing
Grant extension to file confidential financial disclosure reports	Component Head	HRO Part 11, Chapter 1, Procedures for Complying with Ethics Requirements	May be redelegated in writing
Authorization of final salary and leave payments	Clearance Officials	28 CFR 0.75 and 0.76; HRO Part 12, Chapter 2, Clearance Procedures for Employees and Contract Employees Separating from or Reassigned within the Department of Justice	May not be redelegated

APPENDIX H

JMD HR POINTS OF CONTACT

NAME	TITLE	PHONE NUMBER
MARI BARR SANTANGELO	DEPUTY ASSISTANT ATTORNEY GENERAL FOR HUMAN RESOURCES AND ADMINISTRATION	202-514-5501
ROD MARKHAM	DIRECTOR, HUMAN RESOURCES	202-514-4350

For more extensive information, please refer to the following website:

JMD Human Resources: <http://www.usdoj.gov/jmd/ps/>

✓ Personnel Policies - http://www.usdoj.gov/jmd/ps/hro_table.htm

✓ Personnel Guidance - <http://www.usdoj.gov/jmd/ps/newguidance.htm>

JMD Office of Attorney Recruitment and Management:

<http://www.usdoj.gov/jmd/ps/newguidance.htm>

Departmental Ethics Office: <http://www.usdoj.gov/jmd/ethics/index.html>



U.S. Department of Justice

Justice Management Division

Human Resources

Washington, D.C. 20530

SEP 28 2018



Mr. Austin R. Evers
Executive Director
American Oversight
1030 15th Street, NW, Suite B255
Washington, DC 20005

Re: Freedom of Information Act Request, JMD FOIA Tracking Number: 109300

Dear Mr. Evers:

On behalf of the Justice Management Division (JMD), I am responding to your Freedom of Information Act (FOIA) request July 6, 2017. You have asked for copies of materials entitled "Orientation for Political Appointees, Department of Justice", used since January 2017, and used during 2005 and 2009.

Enclosed is information relevant to your request. JMD did not retain copies of 2005 orientation materials. Therefore, the response constitutes approximately 300 pages.

I trust that this information fully satisfies your request. If you need any further assistance or would like to discuss any aspect of your request, please do not hesitate to contact our FOIA Public Liaison at (202) 514-3101.

Sincerely,

M. A. Lamary, SES

MAL: Mary A. Lamary
Director, Human Resources
Justice Management Division

Enclosures

This CD
is
password protected

F@IA1234!



Orientation for Political Appointees Department of Justice 2017



U.S. Department of Justice

Washington, D.C. 20530

Welcome to the Department of Justice!

As the Department's Chief Human Capital Officer, I want to personally welcome you to the Department of Justice (DOJ). You are joining a workforce of approximately 120,000 talented young men and women who are committed to the mission of the Department. My Human Resources and Administration staff, and my colleagues in the Justice Management Division, stand ready to support you throughout your time at the Department.

We have prepared this "DOJ Orientation" binder to assist you as you transition your career to the Department of Justice. Note that the following "Table of Contents" is annotated with instructions to assist you in knowing which forms to complete along with the many decisions you will need to make on benefits.

If you have any questions, or find that any of the documents or information provided are unclear, please do not hesitate to contact me at 202-514-5501, and I will ensure you get timely and complete answers. We are here to help and we have knowledgeable staff available to problem-solve and answer your questions.

Again, welcome to the Department of Justice! If there is anything we can do to assist you, please do not hesitate to call!

All my best,

Mari Barr Santangelo
Deputy Assistant Attorney General
for Human Resources and Administration and
Chief Human Capital Officer
RFK Main Room 1114
PH: (202) 514-5501

**Department of Justice
Human Resources Contacts
Executive Resources Team**



Justice Management Division Human Resources
2 Constitution Square
145 N Street, NE, Room 9W.220
Washington, D.C. 20530

Main Number: (202) 514-4350

FAX Number: (202) 514-0673

Mary Lamary
Director Human Resources

Tammy Shelton
Assistant Director Executive Resources
(202) 532-6935

Linda Roper
Political Personnel Coordinator
(Contractor)
(202) 616-3713

Adele Norton
Human Resources Specialist

Linda Anderson
Human Resources Specialist

Virginia Thompson
Human Resources Specialist

Gail Hardin
JMD/HR Executive Assistant



U.S. Department of Justice Orientation



Section I

General Pre-employment Forms

Title:	Description:
Form I-9	Employment Eligibility Verification
Form OF- 306	Declaration for Federal Employment
SF-144	Statement of Prior Federal Service
Form DOJ-54	Attorney's Entry-on-Duty Bar Certification
Form W-4	Federal Income Tax Withholding
Form D-4, MW-507, and VA-4	State Income Tax Withholding (Select one)
Form D4A	Certificate of Nonresidence in the District of Columbia (For non-DC residents only)
SF-1199A	Direct Deposit Sign-Up Form
Form AD-349	Employee Address Form
Form DOJ-543	Employee Locator Information
SF-181	Ethnicity and Race Identification (Completion is Optional)
SF-256	Self Identification of Handicap (Completion is Optional)

Section 2

Employee Benefits

Summary of Benefits Actions & Benefits Points of Contact

TAB 1: Federal Employees Health Benefits (FEHB) and Federal Employees Dental and Vision Insurance Program (FEDVIP)

Booklet	Federal Employee Health Benefits (FEHB)
SF-2809	Health Benefits Election Form

TAB 2: Flexible Spending Account for Federal Employees (FSAFEDS)

Booklet	Summary Sheet and FSAFEDS Dependent Care and Health Care Accounts
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TAB 3: Long Term Care Insurance

Brochure	Program Highlights
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TAB 4: Federal Employees' Group Life Insurance (FEGLI)

Booklet	Federal Employee's Group Life Insurance (FEGLI)
SF-2817	Life Insurance Election Form

TAB 5: Federal Employees Retirement System (FERS)

Booklet Overview of FERS Program

TAB 6: Thrift Savings Plan (TSP)

Booklet Summary of the TSP Program
TSP-1 TSP Election Form

TAB 7: Designation of Beneficiary

SF-1152 Unpaid Compensation of Deceased Civil Employee Form
SF-2823 FEGLI Beneficiary Form
SF-3102 FERS Beneficiary Form
TSP-3 TSP Beneficiary Form

Section 3

Management Information

Merit System Principles
Prohibited Personnel Practices
Records Management Policy
Ethics Program and Policy

Section 4

Agency Information

DOJ Mission/Core Values
DOJ Organizational Chart
Main Justice Building Floor Plans

Section 5

Key Policies

DOJ Policy on Prevention of Harassment in the Workplace
DOJ Policy on Domestic Violence, Sexual Assault, and Stalking
Office of Special Counsel – Know Your Rights When Reporting Wrongs
Whistleblowing/Whistleblower Retaliation
DOJ Equal Employment Opportunity Policy
DOJ Diversity Management Policy Statement

Section 6

Helpful Information

Office of Special Counsel - “Your Rights as a Federal Employee”
My Employee Personnel Page
LearnDOJ
DOJ Pro Bono Program and Policy
Employee Assistance Program - Counseling and Support Services
Helpful Websites

GENERAL PRE-EMPLOYMENT FORMS



Department of Homeland Security
U.S. Citizenship and Immigration Services

Form I-9
OMB No. 1615-0047
Expires 08/31/2019

START HERE: Read instructions carefully before completing this form. The instructions must be available, either in paper or electronically, during completion of this form. Employers are liable for errors in the completion of this form.

ANTI-DISCRIMINATION NOTICE: It is illegal to discriminate against work-authorized individuals. Employers **CANNOT** specify which document(s) an employee may present to establish employment authorization and identity. The refusal to hire or continue to employ an individual because the documentation presented has a future expiration date may also constitute illegal discrimination.

Section 1: Employee Information and Attestation (Employees must complete and sign Section 1 of Form I-9 no later than the first day of employment, but not before accepting a job offer.)

Last Name (Family Name)		First Name (Given Name)		Middle Initial	Other Last Names Used (if any)	
Address (Street Number and Name)			Apt. Number	City or Town		State ZIP Code
Date of Birth (mm/dd/yyyy)	U.S. Social Security Number [][] - [][] - [][][][]		Employee's E-mail Address		Employee's Telephone Number	

I am aware that federal law provides for imprisonment and/or fines for false statements or use of false documents in connection with the completion of this form.

I attest, under penalty of perjury, that I am (check one of the following boxes):

<input type="checkbox"/> 1. A citizen of the United States
<input type="checkbox"/> 2. A noncitizen national of the United States (See instructions)
<input type="checkbox"/> 3. A lawful permanent resident (Alien Registration Number/USCIS Number): _____
<input checked="" type="checkbox"/> 4. An alien authorized to work until (expiration date, if applicable, mm/dd/yyyy): _____ Some aliens may write "N/A" in the expiration date field. (See instructions)

Aliens authorized to work must provide only one of the following document numbers to complete Form I-9:
An Alien Registration Number/USCIS Number OR Form I-94 Admission Number OR Foreign Passport Number.

1. Alien Registration Number/USCIS Number: _____ OR 2. Form I-94 Admission Number: _____ OR 3. Foreign Passport Number: _____ Country of Issuance: _____	QR Code - Section 1 Do Not Write In This Space
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Signature of Employee	Today's Date (mm/dd/yyyy)
-----------------------	---------------------------

Preparer and/or Translator Certification (check one):

<input type="checkbox"/> I did not use a preparer or translator.	<input type="checkbox"/> A preparer(s) and/or translator(s) assisted the employee in completing Section 1. (Fields below must be completed and signed when preparers and/or translators assist an employee in completing Section 1.)
--	---

I attest, under penalty of perjury, that I have assisted in the completion of Section 1 of this form and that to the best of my knowledge the information is true and correct.

Signature of Preparer or Translator		Today's Date (mm/dd/yyyy)	
Last Name (Family Name)		First Name (Given Name)	
Address (Street Number and Name)		City or Town	State ZIP Code



Employer Completes Next Page





Department of Homeland Security
U.S. Citizenship and Immigration Services

Form I-9
OMB No. 1615-0047
Expires 08/31/2019

Section 2: Employer or Authorized Representative Review and Verification

Employers and authorized representatives must complete and sign Section 2 within 3 business days of the employee's first day of employment. You use physically examining one document from List A OR a combination of one document from List B and one document from List C as listed on the lists of Acceptable Documents.

Employee Info from Section 1	Last Name (Family Name)	First Name (Given Name)	M.I.	Citizenship/Immigration Status
List A Identity and Employment Authorization				
Document Title				
Issuing Authority				
Document Number				
Expiration Date (if any)(mm/dd/yyyy)				
OR				
List B Identity				
Document Title				
Issuing Authority				
Document Number				
Expiration Date (if any)(mm/dd/yyyy)				
AND				
List C Employment Authorization				
Document Title				
Issuing Authority				
Document Number				
Expiration Date (if any)(mm/dd/yyyy)				
Additional Information				
QR Code - Sections 2 & 3 Do Not Write In This Space				

Certification: I attest, under penalty of perjury, that (1) I have examined the document(s) presented by the above-named employee, (2) the above-listed document(s) appear to be genuine and to relate to the employee named, and (3) to the best of my knowledge the employee is authorized to work in the United States.

The employee's first day of employment (mm/dd/yyyy): _____ (See instructions for exemptions)

Signature of Employer or Authorized Representative		Today's Date(mm/dd/yyyy)		Title of Employer or Authorized Representative	
Last Name of Employer or Authorized Representative		First Name of Employer or Authorized Representative		Employer's Business or Organization Name	
Employer's Business or Organization Address (Street Number and Name)				City or Town	State ZIP Code

Section 3: Reverification and Rehires (To be completed and signed by employer or authorized representative.)

A. New Name (if applicable)			B. Date of Rehire (if applicable)	
Last Name (Family Name)	First Name (Given Name)	Middle Initial	Date (mm/dd/yyyy)	

C. If the employee's previous grant of employment authorization has expired, provide the information for the document or receipt that establishes continuing employment authorization in the space provided below.

Document Title	Document Number	Expiration Date (if any) (mm/dd/yyyy)
----------------	-----------------	---------------------------------------

I attest, under penalty of perjury, that to the best of my knowledge, this employee is authorized to work in the United States, and if employee presented document(s), the document(s) I have examined appear to be genuine and to relate to the individual.

Signature of Employer or Authorized Representative	Today's Date (mm/dd/yyyy)	Name of Employer or Authorized Representative
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LISTS OF ACCEPTABLE DOCUMENTS

All documents must be UNEXPIRED

Employees may present one selection from List A
or a combination of one selection from List B and one selection from List C.

LIST A Documents that Establish Both Identity and Employment Authorization	OR	LIST B Documents that Establish Identity	AND LIST C Documents that Establish Employment Authorization
1. U.S. Passport or U.S. Passport Card		1. Driver's license or ID card issued by a State or outlying possession of the United States provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address	1. A Social Security Account Number card, unless the card includes one of the following restrictions: (1) NOT VALID FOR EMPLOYMENT (2) VALID FOR WORK ONLY WITH INS AUTHORIZATION (3) VALID FOR WORK ONLY WITH DHS AUTHORIZATION
2. Permanent Resident Card or Alien Registration Receipt Card (Form I-551)			
3. Foreign passport that contains a temporary I-551 stamp or temporary I-551 printed notation on a machine-readable immigrant visa		2. ID card issued by federal, state or local government agencies or entities, provided it contains a photograph or information such as name, date of birth, gender, height, eye color, and address	2. Certification of report of birth issued by the Department of State (Forms DS-1350, FS-545, FS-240)
4. Employment Authorization Document that contains a photograph (Form I-766)			
5. For a nonimmigrant alien authorized to work for a specific employer because of his or her status: a. Foreign passport; and b. Form I-94 or Form I-94A that has the following: (1) The same name as the passport; and (2) An endorsement of the alien's nonimmigrant status as long as that period of endorsement has not yet expired and the proposed employment is not in conflict with any restrictions or limitations identified on the form.		3. School ID card with a photograph	3. Original or certified copy of birth certificate issued by a State, county, municipal authority, or territory of the United States bearing an official seal
		4. Voter's registration card	
		5. U.S. Military card or draft record	4. Native American tribal document
		6. Military dependent's ID card	
		7. U.S. Coast Guard Merchant Mariner Card	5. U.S. Citizen ID Card (Form I-197)
		8. Native American tribal document	
		9. Driver's license issued by a Canadian government authority For persons under age 18 who are unable to present a document listed above:	6. Identification Card for Use of Resident Citizen in the United States (Form I-179)
6. Passport from the Federated States of Micronesia (FSM) or the Republic of the Marshall Islands (RMI) with Form I-94 or Form I-94A indicating nonimmigrant admission under the Compact of Free Association Between the United States and the FSM or RMI			
		10. School record or report card	7. Employment authorization document issued by the Department of Homeland Security
		11. Clinic, doctor, or hospital record	
		12. Day-care or nursery school record	

Examples of many of these documents appear in Part 13 of the Handbook for Employers (M-274).

Refer to the instructions for more information about acceptable receipts.

Declaration for Federal Employment*

(*This form may also be used to assess fitness for federal contract employment)

Form Approved:
OMB No. 3206-0182

Instructions

The information collected on this form is used to determine your acceptability for Federal and Federal contract employment and your enrollment status in the Government's Life Insurance program. You may be asked to complete this form at any time during the hiring process. Follow instructions that the agency provides. If you are selected, before you are appointed you will be asked to update your responses on this form and on other materials submitted during the application process and then to recertify that your answers are true.

All your answers must be truthful and complete. **A false statement on any part of this declaration or attached forms or sheets may be grounds for not hiring you, or for firing you after you begin work. Also, you may be punished by a fine or imprisonment (U.S. Code, title 18, section 1001).**

Either type your responses on this form or print clearly in dark ink. If you need additional space, attach letter-size sheets (8.5" X 11"). Include your name, Social Security Number, and item number on each sheet. We recommend that you keep a photocopy of your completed form for your records.

Privacy Act Statement

The Office of Personnel Management is authorized to request this information under sections 1302, 3301, 3304, 3328, and 8716 of title 5, U. S. Code. Section 1104 of title 5 allows the Office of Personnel Management to delegate personnel management functions to other Federal agencies. If necessary, and usually in conjunction with another form or forms, this form may be used in conducting an investigation to determine your suitability or your ability to hold a security clearance, and it may be disclosed to authorized officials making similar, subsequent determinations.

Your Social Security Number (SSN) is needed to keep our records accurate, because other people may have the same name and birth date. Public Law 104-134 (April 26, 1996) asks Federal agencies to use this number to help identify individuals in agency records. Giving us your SSN or any other information is voluntary. However, if you do not give us your SSN or any other information requested, we cannot process your application. Incomplete addresses and ZIP Codes may also slow processing.

ROUTINE USES: Any disclosure of this record or information in this record is in accordance with routine uses found in System Notice OPM/GOVT-1, General Personnel Records. This system allows disclosure of information to: training facilities; organizations deciding claims for retirement, insurance, unemployment, or health benefits; officials in litigation or administrative proceedings where the Government is a party; law enforcement agencies concerning a violation of law or regulation; Federal agencies for statistical reports and studies; officials of labor organizations recognized by law in connection with representation of employees; Federal agencies or other sources requesting information for Federal agencies in connection with hiring or retaining, security clearance, security or suitability investigations, classifying jobs, contracting, or issuing licenses, grants, or other benefits; public and private organizations, including news media, which grant or publicize employee recognitions and awards; the Merit Systems Protection Board, the Office of Special Counsel, the Equal Employment Opportunity Commission, the Federal Labor Relations Authority, the National Archives and Records Administration, and Congressional offices in connection with their official functions; prospective non-Federal employers concerning tenure of employment, civil service status, length of service, and the date and nature of action for separation as shown on the SF 50 (or authorized exception) of a specifically identified individual; requesting organizations or individuals concerning the home address and other relevant information on those who might have contracted an illness or been exposed to a health hazard; authorized Federal and non-Federal agencies for use in computer matching; spouses or dependent children asking whether the employee has changed from a self-and-family to a self-only health benefits enrollment; individuals working on a contract, service, grant, cooperative agreement, or job for the Federal government; non-agency members of an agency's performance or other panel; and agency-appointed representatives of employees concerning information issued to the employees about fitness-for-duty or agency-filed disability retirement procedures.

Public Burden Statement

Public burden reporting for this collection of information is estimated to vary from 5 to 30 minutes with an average of 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of the collection of information, including suggestions for reducing this burden, to the U.S. Office of Personnel Management, Reports and Forms Manager (3206-0182), Washington, DC 20415-7900. The OMB number, 3206-0182, is valid. OPM may not collect this information, and you are not required to respond, unless this number is displayed.

Declaration for Federal Employment*

(*This form may also be used to assess fitness for federal contract employment)

Form Approved:
OMB No. 3206-0182

GENERAL INFORMATION

ILL NAME (Provide your full name. If you have only initials in your name, provide them and indicate "Initial only". If you do not have a middle name, indicate "No Middle Name". If you are a "Jr.," "Sr.," etc. enter this under Suffix. First, Middle, Last, Suffix)

2. SOCIAL SECURITY NUMBER

3a. PLACE OF BIRTH (Include city and state or country)

3b. ARE YOU A U.S. CITIZEN?

☐ YES ☐ NO (If "NO", provide country of citizenship)

4. DATE OF BIRTH (MM / DD / YYYY)

5. OTHER NAMES EVER USED (For example, maiden name, nickname, etc)

6. PHONE NUMBERS (Include area codes)

Day

Night

Selective Service Registration

If you are a male born after December 31, 1959, and are at least 18 years of age, civil service employment law (5 U.S.C. 3328) requires that you must register with the Selective Service System, unless you meet certain exemptions.

7a. Are you a male born after December 31, 1959?

☐ YES

☐ NO (If "NO", proceed to 8.)

7b. Have you registered with the Selective Service System?

☐ YES (If "YES", proceed to 8.)

☐ NO (If "NO", proceed to 7c.)

7c. If "NO," describe your reason(s) in item 16.

Military Service

8. Have you ever served in the United States military?

☐ YES (If "YES", provide information below)

☐ NO

If you answered "YES," list the branch, dates, and type of discharge for all active duty.

If your only active duty was training in the Reserves or National Guard, answer "NO."

Branch	From (MM/DD/YYYY)	To (MM/DD/YYYY)	Type of Discharge

Background Information

For all questions, provide all additional requested information under item 16 or on attached sheets. The circumstances of each event you list will be considered. However, in most cases you can still be considered for Federal jobs.

For questions 9, 10, and 11, your answers should include convictions resulting from a plea of *nolo contendere* (no contest), but omit (1) traffic fines of \$300 or less, (2) any violation of law committed before your 16th birthday, (3) any violation of law committed before your 18th birthday if finally decided in juvenile court or under a Youth Offender law, (4) any conviction set aside under the Federal Youth Corrections Act or similar state law, and (5) any conviction for which the record was expunged under Federal or state law.

9. During the last 7 years, have you been convicted, been imprisoned, been on probation, or been on parole? (Includes felonies, firearms or explosives violations, misdemeanors, and all other offenses.) If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the police department or court involved.

☐ YES ☐ NO

10. Have you been convicted by a military court-martial in the past 7 years? (If no military service, answer "NO.") If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the military authority or court involved.

☐ YES ☐ NO

11. Are you currently under charges for any violation of law? If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the police department or court involved.

☐ YES ☐ NO

12. During the last 5 years, have you been fired from any job for any reason, did you quit after being told that you would be fired, did you leave any job by mutual agreement because of specific problems, or were you debarred from Federal employment by the Office of Personnel Management or any other Federal agency? If "YES," use item 16 to provide the date, an explanation of the problem, reason for leaving, and the employer's name and address.

☐ YES ☐ NO

Do you delinquent on any Federal debt? (Includes delinquencies arising from Federal taxes, loans, overpayment of benefits, and other debts to the U.S. Government, plus defaults of Federally guaranteed or insured loans such as student and home mortgage loans.) If "YES," use item 16 to provide the type, length, and amount of the delinquency or default, and steps that you are taking to correct the error or repay the debt.

☐ YES ☐ NO

U.S. Office of Personnel Management

5 U.S.C. 1302, 3301, 3304, 3328 & 8716

Optional Form 306

Revised October 2011

Previous editions obsolete and unusable

DOJ-17-0211-B-000011

Declaration for Federal Employment*

(*This form may also be used to assess fitness for federal contract employment)

Form Approved:
OMB No. 3206-0182

Additional Questions

Do any of your relatives work for the agency or government organization to which you are submitting this form? (include: father, mother, husband, wife, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, and half sister.) If "YES," use item 16 to provide the relative's name, relationship, and the department, agency, or branch of the Armed Forces for which your relative works.

☐ YES ☐ NO

15. Do you receive, or have you ever applied for, retirement pay, pension, or other retired pay based on military, Federal civilian, or District of Columbia Government service?

☐ YES ☐ NO

Continuation Space / Agency Optional Questions

16. Provide details requested in items 7 through 15 and 18c in the space below or on attached sheets. Be sure to identify attached sheets with your name, Social Security Number, and item number, and to include ZIP Codes in all addresses. If any questions are printed below, please answer as instructed (these questions are specific to your position and your agency is authorized to ask them).

Certifications / Additional Questions

APPLICANT: If you are applying for a position and have not yet been selected, carefully review your answers on this form and any attached sheets. When this form and all attached materials are accurate, read item 17, and complete 17a.

APPOINTEE: If you are being appointed, carefully review your answers on this form and any attached sheets, including any other application materials that your agency has attached to this form. If any information requires correction to be accurate as of the date you are signing, make changes on this form or the attachments and/or provide updated information on additional sheets, initialing and dating all changes and additions. When this form and all attached materials are accurate, read item 17, complete 17b, read 18, and answer 18a, 18b, and 18c as appropriate.

17. I certify that, to the best of my knowledge and belief, all of the information on and attached to this Declaration for Federal Employment, including any attached application materials, is true, correct, complete, and made in good faith. I understand that a false or fraudulent answer to any question or item on any part of this declaration or its attachments may be grounds for not hiring me, or for firing me after I begin work, and may be punishable by fine or imprisonment. I understand that any information I give may be investigated for purposes of determining eligibility for Federal employment as allowed by law or Presidential order. I consent to the release of information about my ability and fitness for Federal employment by employers, schools, law enforcement agencies, and other individuals and organizations to investigators, personnel specialists, and other authorized employees or representatives of the Federal Government. I understand that for financial or lending institutions, medical institutions, hospitals, health care professionals, and some other sources of information, a separate specific release may be needed, and I may be contacted for such a release at a later date.

17a. Applicant's Signature: _____ Date _____
(Sign in ink)

17b. Appointee's Signature: _____ Date _____
(Sign in ink)

Appointing Officer:

Enter Date of Appointment or Conversion
MM / DD / YYYY

18. Appointee (Only respond if you have been employed by the Federal Government before): Your elections of life insurance during previous Federal employment may affect your eligibility for life insurance during your new appointment. These questions are asked to help your personnel office make a correct determination.

18a. When did you leave your last Federal job? _____ MM / DD / YYYY

DATE:

18b. When you worked for the Federal Government the last time, did you waive Basic Life Insurance or any type of optional life insurance?

☐ YES ☐ NO ☐ DO NOT KNOW

If you answered "YES" to item 18b, did you later cancel the waiver(s)? If your answer to item 18c is "NO," use item 16 to identify the type(s) of insurance for which waivers were not canceled.

☐ YES ☐ NO ☐ DO NOT KNOW

Statement of Prior Federal Service

(PLEASE READ THE FOLLOWING INFORMATION BEFORE COMPLETING THIS FORM)

Vacancy Act Statement

Section 6303 of 5 U.S.C., "Annual Leave Accrual," authorizes collection of information to determine and record service that may be creditable for accrual of annual leave. Part 351.503, 5 C.F.R., "Length of Service," authorizes collection of data to determine and record service that may be creditable for reduction-in-force retention purposes.

Information about prior Federal civilian and military service is collected and maintained in your Official Personnel Folder (OPF). The information you furnish may be disclosed to other Federal agencies

or Congressional or Judicial Offices in order to verify it or in connection with your application for a job, license, grant, or other benefit. It may also be disclosed to a national, state, or local law enforcement agency where there is indication of a violation or potential violation of civil or criminal law or regulation, or to another Federal agency or court when the Government is party to a suit.

Furnishing this information is voluntary; however, failure to do so may result in your not receiving credit for prior Federal service.

I. What Is Needed to Verify Prior Service

In order for your employing agency to credit your prior Federal service for benefits, such as leave accrual and reduction-in-force retention, the dates of your active uniformed service and the type(s) of appointment(s) and dates of civilian service must be verified. Dates of active uniformed service are verified from the records issued by the branch of service in which you served. Dates and types of appointments to civilian positions are usually verified from Notifications of Personnel Action (Standard Form 50 or CSC- or OPM-approved exceptions thereto), and payroll records (including records of deductions made under the Civil Service Retirement System—Standard Form 2806, or the Federal Employees Retirement System—Standard Form 3100). The information on the application or resume you submitted for the appointment you are receiving, along with the information on page 2 of this form, will be used by your agency to identify the Federal employers and periods of employment for which records must be obtained to verify the prior service.

When Notification of Personnel Action or payroll records cannot be located to verify a period of service, and the service was covered by Social Security, a detailed statement of earnings information (showing periods of employment and the name of the employer) from the Social Security Administration will be accepted as proof of service.

If no personnel, payroll, or Social Security records can be located, then your agency can accept secondary evidence of civilian employment, as explained below.

II. Use of Secondary Evidence to Verify Federal Service

Secondary evidence may be considered as proof of Federal civilian service only when official Government records are lost, destroyed, or incomplete. Necessarily, the **burden of proof is on the person claiming service** that is not supported by official records in the custody of the U.S. Government. If you decide to claim credit for a period of service by submitting secondary evidence, it is important that you **submit all documents in your possession** that tend to prove you performed the service claimed, and that the service, if performed, was creditable for leave accrual and reduction-in-force purposes. **No credit** can be allowed for any service that is **not substantiated** by valid and conclusive secondary evidence. The following is applicable only if you are providing secondary evidence.

A. Documentary Evidence: Submit as many as possible of the documents listed in item 1 below. If your agency finds that these documents are insufficient to determine creditability, the documents listed in items 2 and 3 may be considered, but less weight will be given to such evidence.

1. Copies of official documents or letters about the service. These may be notices on appointment/separation; notices of changes in position/salary, organization, or headquarters; travel orders; payroll cards; ID's, etc.
2. Private records such as a diary, correspondence, copies of income tax returns, employment applications, credit applications, etc., that mention the Federal employer and the claimed service. Private records must have been made during or shortly after period of service.
3. Any other documentary evidence tending to prove the service was actually performed and the starting and ending dates of the service.

B. Affidavit Evidence: If you are not able to supply copies of official documents (as described in item 1 above) that are sufficient for your agency to make a determination of creditability, you must submit affidavits from yourself and at least two other persons (preferably your supervisors) who know the facts. If you can obtain no documentary evidence (items 1, 2, and 3, above) to support your claim, you may submit these affidavits only; **however**, your claim is more likely to be rejected without supporting documents. The required affidavits are from:

- The employee, stating as many of the details on the affidavit as can accurately be remembered.
- At least two persons knowing the facts. Each person should show that he or she is in a position to know the facts sworn to, and give his or her age and mailing address.

Affidavits must be sworn to or affirmed before a notary public or other officer who is authorized by law to administer oaths.

C. Warning: Any submission may be investigated. Intentional false statements, willful concealments, or using documents you know are false, fictitious, or fraudulent is punishable by fine/imprisonment (18 U.S.C. 1001).

STATEMENT OF PRIOR FEDERAL SERVICE
To be Completed by Employee

1. Name (Last, First, Middle Initial)	2. Social Security Number	3. Date of Birth (Month, Day, Year)
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4. Does the application or resume that you submitted, for the position to which you are being appointed, list all of your Federal government civilian and uniformed service, including beginning and ending dates, as well as the type of appointment and work schedule for civilian service?
☐ Yes — If "Yes", check this block and skip to Item 8. ☐ No — If "No", check this block and complete Items 5 - 9.

5. List below your prior civilian service. Include service with the DC Government on appointments made before October 1, 1987.

NAME AND LOCATION OF AGENCY	FROM			TO			TYPE OF APPOINTMENT AND WORK SCHEDULE (Full-Time, Part-Time, or Intermittent)
	Year	Month	Day	Year	Month	Day	

6. During periods of employment shown in Item 5, did you have a total of more than 6 months' absence without pay during any one calendar year?

☐ Yes — If "Yes", list the following information. ☐ No — If "No", go to Item 7.

TYPE OF ABSENCE, IF KNOWN (LWOP, Furlough, Suspension, AWOL, or Placement in Nonpay Status)	FROM			TO			TOTAL		
	Year	Month	Day	Year	Month	Day	YEARS	MONTHS	DAYS

7. List all uniformed service below. List active service in any branch of the Armed Forces of the United States, including active duty as a reservist, and active service in the commissioned corps of the Public Health Service or the National Oceanic and Atmospheric Administration.

BRANCH OF SERVICE	FROM			TO			DISCHARGE (Honorable or Dishonorable)
	Year	Month	Day	Year	Month	Day	

8. Do you claim any type of veterans' preference which has not been verified?

☐ No ☐ Yes — Check one of the statements, if it applies to you. I claim preference as the:
☐ Spouse of a disabled veteran ☐ Mother of a deceased or disabled veteran ☐ Unmarried widow/widower of a veteran

9. **CERTIFICATION:** The prior Federal civilian and uniformed service listed on my application/resume and listed above constitutes my entire record of Federal employment. I have no other Federal service for which I want to claim credit.

Signature	Date
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I, _____, understand that each Department of Justice attorney must maintain an
(Name)
"active" membership in the bar of at least one State, territory or the District of Columbia. I hereby certify
that I am an "active" member of the bar in _____
(State, territory or District of Columbia)
and that my bar membership number (if any) is _____. I further understand that
failure on my part to maintain an "active" bar membership at any time during my employment as an
attorney at the Department may result in my pay being withheld and subject me to possible disciplinary
action.

In addition, for purposes of my background investigation, I hereby certify that, in addition to being an
"active" member of the bar in the jurisdiction identified above, I am a member of the bar of each State or
territory listed below:

State	Date of Admission (Provide month, day and year)	Membership Status (For each State listed, you must check one)	
		Active	Inactive

Have you illegally used any drug or controlled substance (including any prescription drug not prescribed
to you) since becoming a member of the Bar of any State, territory, or the District of Columbia?

☐ Yes ☐ No

Signature

Date

FORM DOJ-54
JUNE 2016

Form W-4 (2017)

Purpose. Complete Form W-4 so that your employer can withhold the correct federal income tax from your pay. Consider completing a new Form W-4 each year and when your personal or financial situation changes.

Exemption from withholding. If you are exempt, complete only lines 1, 2, 3, 4, and 7 and sign the form to validate it. Your exemption for 2017 expires February 15, 2018. See Pub. 505, Tax Withholding and Estimated Tax.

Note: If another person can claim you as a dependent on his or her tax return, you can't claim exemption from withholding if your total income exceeds \$1,050 and includes more than \$350 of unearned income (for example, interest and dividends).

Exceptions. An employee may be able to claim exemption from withholding even if the employee is a dependent, if the employee:

- Is age 65 or older,
- Is blind, or
- Will claim adjustments to income; tax credits; or itemized deductions, on his or her tax return.

The exceptions don't apply to supplemental wages greater than \$1,000,000.

Basic instructions. If you aren't exempt, complete the **Personal Allowances Worksheet** below. The worksheets on page 2 further adjust your withholding allowances based on itemized deductions, certain credits, adjustments to income, or two-earners/multiple jobs situations.

Complete all worksheets that apply. However, you may claim fewer (or zero) allowances. For regular wages, withholding must be based on allowances you claimed and may not be a flat amount or percentage of wages.

Head of household. Generally, you can claim head of household filing status on your tax return only if you are unmarried and pay more than 50% of the costs of keeping up a home for yourself and your dependent(s) or other qualifying individuals. See Pub. 501, Exemptions, Standard Deduction, and Filing Information, for information.

Tax credits. You can take projected tax credits into account in figuring your allowable number of withholding allowances. Credits for child or dependent care expenses and the child tax credit may be claimed using the **Personal Allowances Worksheet** below. See Pub. 505 for information on converting your other credits into withholding allowances.

Nonwage income. If you have a large amount of nonwage income, such as interest or dividends, consider making estimated tax payments using Form 1040-ES, Estimated Tax for Individuals. Otherwise, you may owe additional tax. If you have pension or annuity income, see Pub. 505 to find out if you should adjust your withholding on Form W-4 or W-4P.

Two earners or multiple jobs. If you have a working spouse or more than one job, figure the total number of allowances you are entitled to claim on all jobs using worksheets from only one Form W-4. Your withholding usually will be most accurate when all allowances are claimed on the Form W-4 for the highest paying job and zero allowances are claimed on the others. See Pub. 505 for details.

Nonresident alien. If you are a nonresident alien, see Notice 1392, Supplemental Form W-4 Instructions for Nonresident Aliens, before completing this form.

Check your withholding. After your Form W-4 takes effect, use Pub. 505 to see how the amount you are having withheld compares to your projected total tax for 2017. See Pub. 505, especially if your earnings exceed \$130,000 (Single) or \$180,000 (Married).

Future developments. Information about any future developments affecting Form W-4 (such as legislation enacted after we release it) will be posted at www.irs.gov/w4.

Personal Allowances Worksheet (Keep for your records.)

A	Enter "1" for yourself if no one else can claim you as a dependent	A _____
B	Enter "1" if: <ul style="list-style-type: none">• You're single and have only one job; or• You're married, have only one job, and your spouse doesn't work; or• Your wages from a second job or your spouse's wages (or the total of both) are \$1,500 or less.	B _____
C	Enter "1" for your spouse. But, you may choose to enter "-0-" if you are married and have either a working spouse or more than one job. (Entering "-0-" may help you avoid having too little tax withheld.)	C _____
D	Enter number of dependents (other than your spouse or yourself) you will claim on your tax return	D _____
E	Enter "1" if you will file as head of household on your tax return (see conditions under Head of household above)	E _____
F	Enter "1" if you have at least \$2,000 of child or dependent care expenses for which you plan to claim a credit (Note: Do not include child support payments. See Pub. 503, Child and Dependent Care Expenses, for details.)	F _____
G	Child Tax Credit (including additional child tax credit). See Pub. 972, Child Tax Credit, for more information. <ul style="list-style-type: none">• If your total income will be less than \$70,000 (\$100,000 if married), enter "2" for each eligible child; then less "1" if you have two to four eligible children or less "2" if you have five or more eligible children.• If your total income will be between \$70,000 and \$84,000 (\$100,000 and \$119,000 if married), enter "1" for each eligible child.	G _____
H	Add lines A through G and enter total here. (Note: This may be different from the number of exemptions you claim on your tax return.) ▶	H _____

For accuracy, complete all worksheets that apply.

- If you plan to itemize or claim adjustments to income and want to reduce your withholding, see the **Deductions and Adjustments Worksheet** on page 2.
- If you are single and have more than one job or are married and you and your spouse both work and the combined earnings from all jobs exceed \$50,000 (\$20,000 if married), see the **Two-Earners/Multiple Jobs Worksheet** on page 2 to avoid having too little tax withheld.
- If neither of the above situations applies, stop here and enter the number from line H on line 5 of Form W-4 below.

Separate here and give Form W-4 to your employer. Keep the top part for your records.

Form W-4 Department of the Treasury Internal Revenue Service		Employee's Withholding Allowance Certificate		OMB No. 1545-0074 2017
1 Your first name and middle initial		Last name		2 Your social security number
Home address (number and street or rural route)		3 <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Married, but withhold at higher Single rate. Note: If married, but legally separated, or spouse is a nonresident alien, check the "Single" box.		
City or town, state, and ZIP code		4 If your last name differs from that shown on your social security card, check here. You must call 1-800-772-1213 for a replacement card. <input type="checkbox"/>		
5 Total number of allowances you are claiming (from line H above or from the applicable worksheet on page 2)		5		
6 Additional amount, if any, you want withheld from each paycheck		6		\$
7 I claim exemption from withholding for 2017, and I certify that I meet both of the following conditions for exemption. <ul style="list-style-type: none">• Last year I had a right to a refund of all federal income tax withheld because I had no tax liability, and• This year I expect a refund of all federal income tax withheld because I expect to have no tax liability. If you meet both conditions, write "Exempt" here ▶		7		
Under penalties of perjury, I declare that I have examined this certificate and, to the best of my knowledge and belief, it is true, correct, and complete.				
Employee's signature (This form is not valid unless you sign it.) ▶				
8 Employer's name and address (Employer: Complete lines 8 and 10 only if sending to the IRS.)		9 Office code (optional)		10 Employer identification number (EIN)

For Privacy Act and Paperwork Reduction Act Notice, see page 2.

Cat. No. 10220Q

Form W-4 (2017)

AMERICAN
OVERSIGHT

DOJ-17-0211-B-000016

Deductions and Adjustments Worksheet**Note:** Use this worksheet *only* if you plan to itemize deductions or claim certain credits or adjustments to income.

- 1 Enter an estimate of your 2017 itemized deductions. These include qualifying home mortgage interest, charitable contributions, state and local taxes, medical expenses in excess of 10% of your income, and miscellaneous deductions. For 2017, you may have to reduce your itemized deductions if your income is over \$313,800 and you're married filing jointly or you're a qualifying widow(er); \$287,650 if you're head of household; \$261,500 if you're single, not head of household and not a qualifying widow(er); or \$156,900 if you're married filing separately. See Pub. 505 for details. 1 \$ _____
- 2 Enter: $\left\{ \begin{array}{l} \$12,700 \text{ if married filing jointly or qualifying widow(er)} \\ \$9,350 \text{ if head of household} \\ \$6,350 \text{ if single or married filing separately} \end{array} \right\}$ 2 \$ _____
- 3 Subtract line 2 from line 1. If zero or less, enter "-0-" 3 \$ _____
- 4 Enter an estimate of your 2017 adjustments to income and any additional standard deduction (see Pub. 505) 4 \$ _____
- 5 Add lines 3 and 4 and enter the total. (Include any amount for credits from the *Converting Credits to Withholding Allowances for 2017 Form W-4* worksheet in Pub. 505.) 5 \$ _____
- 6 Enter an estimate of your 2017 nonwage income (such as dividends or interest) 6 \$ _____
- 7 Subtract line 6 from line 5. If zero or less, enter "-0-" 7 \$ _____
- 8 Divide the amount on line 7 by \$4,050 and enter the result here. Drop any fraction 8 _____
- 9 Enter the number from the **Personal Allowances Worksheet**, line H, page 1 9 _____
- 10 Add lines 8 and 9 and enter the total here. If you plan to use the **Two-Earners/Multiple Jobs Worksheet**, also enter this total on line 1 below. Otherwise, **stop here** and enter this total on Form W-4, line 5, page 1 10 _____

Two-Earners/Multiple Jobs Worksheet (See *Two earners or multiple jobs* on page 1.)**Note:** Use this worksheet *only* if the instructions under line H on page 1 direct you here.

- 1 Enter the number from line H, page 1 (or from line 10 above if you used the **Deductions and Adjustments Worksheet**) 1 _____
- 2 Find the number in **Table 1** below that applies to the **LOWEST** paying job and enter it here. **However**, if you are married filing jointly and wages from the highest paying job are \$65,000 or less, do not enter more than "3" 2 _____
- 3 If line 1 is **more than or equal to** line 2, subtract line 2 from line 1. Enter the result here (if zero, enter "-0-") and on Form W-4, line 5, page 1. **Do not** use the rest of this worksheet 3 _____

Note: If line 1 is **less than** line 2, enter "-0-" on Form W-4, line 5, page 1. Complete lines 4 through 9 below to figure the additional withholding amount necessary to avoid a year-end tax bill.

- 4 Enter the number from line 2 of this worksheet 4 _____
- 5 Enter the number from line 1 of this worksheet 5 _____
- 6 Subtract line 5 from line 4 6 _____
- 7 Find the amount in **Table 2** below that applies to the **HIGHEST** paying job and enter it here 7 \$ _____
- 8 Multiply line 7 by line 6 and enter the result here. This is the additional annual withholding needed 8 \$ _____
- 9 Divide line 8 by the number of pay periods remaining in 2017. For example, divide by 25 if you are paid every two weeks and you complete this form on a date in January when there are 25 pay periods remaining in 2017. Enter the result here and on Form W-4, line 6, page 1. This is the additional amount to be withheld from each paycheck 9 \$ _____

Table 1

Married Filing Jointly		All Others	
If wages from LOWEST paying job are—	Enter on line 2 above	If wages from LOWEST paying job are—	Enter on line 2 above
\$0 - \$7,000	0	\$0 - \$8,000	0
7,001 - 14,000	1	8,001 - 16,000	1
14,001 - 22,000	2	16,001 - 26,000	2
22,001 - 27,000	3	26,001 - 34,000	3
27,001 - 35,000	4	34,001 - 44,000	4
35,001 - 44,000	5	44,001 - 70,000	5
44,001 - 55,000	6	70,001 - 85,000	6
55,001 - 65,000	7	85,001 - 110,000	7
65,001 - 75,000	8	110,001 - 125,000	8
75,001 - 80,000	9	125,001 - 140,000	9
80,001 - 95,000	10	140,001 and over	10
95,001 - 115,000	11		
115,001 - 130,000	12		
130,001 - 140,000	13		
140,001 - 150,000	14		
150,001 and over	15		

Table 2

Married Filing Jointly		All Others	
If wages from HIGHEST paying job are—	Enter on line 7 above	If wages from HIGHEST paying job are—	Enter on line 7 above
\$0 - \$75,000	\$610	\$0 - \$38,000	\$610
75,001 - 135,000	1,010	38,001 - 85,000	1,010
135,001 - 205,000	1,130	85,001 - 185,000	1,130
205,001 - 360,000	1,340	185,001 - 400,000	1,340
360,001 - 405,000	1,420	400,001 and over	1,600
405,001 and over	1,600		

Privacy Act and Paperwork Reduction Act Notice. We ask for the information on this form to carry out the Internal Revenue laws of the United States. Internal Revenue Code sections 3402(f)(2) and 6109 and their regulations require you to provide this information; your employer uses it to determine your federal income tax withholding. Failure to provide a properly completed form will result in your being treated as a single person who claims no withholding allowances; providing fraudulent information may subject you to penalties. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation; to cities, states, the District of Columbia, and U.S. commonwealths and possessions for use in administering their tax laws; and to the Department of Health and Human Services for use in the National Directory of New Hires. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You are not required to provide the information requested on a form that is subject to the Paperwork Reduction Act unless the form displays a valid OMB control number. Books or records relating to a form or its instructions must be retained as long as their contents may become material in the administration of any Internal Revenue law. Generally, tax returns and return information are confidential, as required by Code section 6103.

The average time and expenses required to complete and file this form will vary depending on individual circumstances. For estimated averages, see the instructions for your income tax return.

If you have suggestions for making this form simpler, we would be happy to hear from you. See the instructions for your income tax return.

Social security number
 First name M.I. Last name
 Home address (number, street and suite/apartment number if applicable)
 City State Zip code +4
 1 Tax filing status (Fill in only one) ☐ Single ☐ Married/domestic partners filing jointly/qualifying widow(er) with dependent child
☐ Head of household ☐ Married filing separately ☐ Married/domestic partners filing separately on same return
 2 Total number of withholding allowances from worksheet below.
 Enter total from Sec. A, Line i Enter total from Sec. B, Line m Total number of withholding allowances, Line n
 3 Additional amount, if any, you want withheld from each paycheck \$
 4 Before claiming exemption from withholding, read below. If qualified, write "EXEMPT" in this box.
 5 My domicile is a state other than the District of Columbia ☐ Yes ☐ No If yes, give name of state of domicile _____
 I am exempt because: last year I did not owe any DC income tax and had a right to a full refund of all DC income tax withheld from me; and this year I do not expect to owe any DC income tax and expect a full refund of all DC income tax withheld from me; and I qualify for exempt status on federal Form W-4.
 If claiming exemption from withholding, are you a full-time student? ☐ Yes ☐ No

Signature Under penalties of law, I declare that the information provided on this certificate is, to the best of my knowledge, correct.

Employee's signature

Date

Employer Keep this certificate with your records. If 10 or more exemptions are claimed or if you suspect this certificate contains false information please send a copy to: Office of Tax and Revenue, 1101 4th St., SW, Washington, DC 20024 Attn: Compliance Administration

Detach and give the top portion to your employer. Keep the bottom portion for your records.

D-4 DC Withholding Allowance Worksheet

Section A Number of withholding allowances

a Enter 1 for yourself a
 b Enter 1 if you are filing as a head of household b
 c Enter 1 if you are 65 or over c
 d Enter 1 if you are blind d
 e Enter number of dependents e
 f Enter 1 for your spouse or registered domestic partner filing jointly or filing separately on same return or if you are a qualifying widow(er) with dependent child f
 g Enter 1 if married or registered domestic partner filing jointly or filing separately on same return and your spouse or registered domestic partner is 65 or over g
 h Enter 1 if married or registered domestic partner filing jointly or filing separately on same return and your spouse or registered domestic partner is blind h
 i Number of allowances Add Lines a through h, enter here and on Line 2 above, next to "Enter total from Sec. A, Line i". i
 If you want to claim additional withholding allowances, complete Section B below.

Section B Additional withholding allowances

j Enter estimate of your itemized deductions j
 k Enter \$5,650 if single, married/registered domestic partners filing separately or a dependent. Enter \$7,800 if head of household. Enter \$10,275 if married/registered domestic partner filing jointly, married filing separately on the same return, or qualifying widow(er) with dependent child. k
 l Subtract Line k from Line j. l
 m Divide Line l by \$1,775. Round to the nearest whole number, enter here and on Line 2 above, next to "Enter total from Sec. B, Line m". m
 n Add Lines m and i, enter here and on Line 2 above, next to "Total number of withholding allowances, Line n". n

Detach and give the top portion to your employer. Keep the bottom portion for your records.

Who must file a Form D-4?

Every new employee who resides in DC and is required to have DC income taxes withheld, must fill out Form D-4 and file it with his/her employer.

If you are not liable for DC income taxes because you are a nonresident or military spouse, you must file Form D-4A, Certificate of Nonresidence in the District of Columbia, with your employer.

When should you file?

File Form D-4 whenever you start new employment. Once filed with your employer, it will remain in effect until you file a new certificate. You may file a new withholding allowance certificate any time the number of withholding allowances you are entitled to increases. You must file a new certificate within 10 days if the number of withholding allowances you claimed decreases.

How many withholding allowances should you claim?

Use the worksheet on the front of this form to figure the number of withholding allowances you should claim. If you want less money withheld from your paycheck, you may claim additional allowances by completing Section B of the worksheet, Lines j through n. However, if you claim too many allowances, you may owe additional taxes at the end of the year.

Should I have an additional amount deducted from my paycheck?

In some instances, even if you claim zero withholding allowances, you may not have enough tax withheld. You may, upon agreement with your employer, have more tax withheld by entering on Line 3, a dollar amount of your choosing.

What to file

After completing Form D-4, detach the top portion and file it with your employer. Keep the bottom portion for your records.

**MARYLAND
FORM
MW507**

Purpose. Complete Form MW507 so that your employer can withhold the correct Maryland income tax from your pay. Consider completing a new Form MW507 each year and when your personal or financial situation changes.

Basic Instructions. Enter on line 1 below, the number of personal exemptions you will claim on your tax return. However, if you wish to claim more exemptions, or if your adjusted gross income will be more than \$100,000 if you are filing single or married filing separately (\$150,000, if you are filing jointly or as head of household), you must complete the Personal Exemption Worksheet on page 2. Complete the Personal Exemption Worksheet on page 2 to further adjust your Maryland withholding based on itemized deductions, and certain other expenses that exceed your standard deduction and are not being claimed at another job or by your spouse. However, you may claim fewer (or zero) exemptions.

Additional withholding per pay period under agreement with employer. If you are not having enough tax withheld, you may ask your employer to withhold more by entering an additional amount on line 2.

Exemption from withholding. You may be entitled to claim an exemption from the withholding of Maryland income tax if:

- Last year you did not owe any Maryland income tax and had a right to a full refund of any tax withheld; AND,
- This year you do not expect to owe any Maryland income tax and expect to have a right to a full refund of all income tax withheld.

If you are eligible to claim this exemption, complete Line 3 and your employer will not withhold Maryland income tax from your wages.

Students and Seasonal Employees whose annual income will be below the minimum filing requirements should claim exemption from withholding. This provides more income throughout the year and avoids the necessity of filing a Maryland income tax return.

Certification of nonresidence in the State of Maryland. Complete Line 4. This line is to be completed by residents of the District of Columbia, Virginia or West Virginia who are employed in Maryland and who do not maintain a place of abode in Maryland for 183 days or more.

Residents of Pennsylvania who are employed in Maryland and who do not maintain a place of abode in Maryland for 183 days or more, should complete line 5 to exempt themselves from the state portion of the withholding tax. These employees are still liable for withholding tax at the rate in effect for the Maryland county in which they are employed, unless they qualify for an exemption on either line 6 or line 7. Pennsylvania residents of York and Adams counties may claim an exemption from the local withholding tax by completing line 6. Pennsylvania residents living in other local jurisdictions which do not impose an earnings or income tax on Maryland residents may claim an exemption by completing line 7. Employees qualifying for exemption under 6 or 7, should also write "EXEMPT" on line 4.

Line 4 is **NOT** to be used by residents of other states who are working in Maryland, because such persons are liable for Maryland income tax and withholding from

their wages is required.

If you are domiciled in the District of Columbia, Pennsylvania or Virginia and maintain a place of abode in Maryland for 183 days or more, you become a statutory resident of Maryland and you are required to file a resident return with Maryland reporting your total income. You must apply to your domicile state for any tax credit to which you may be entitled under the reciprocal provisions of the law. If you are domiciled in West Virginia, you are not required to pay Maryland income tax on wage or salary income, regardless of the length of time you may have spent in Maryland.

Under the Servicemembers Civil Relief Act, as amended by the Military Spouses Residency Relief Act, you may be exempt from Maryland income tax on your wages if (i) your spouse is a member of the armed forces present in Maryland in compliance with military orders; (ii) you are present in Maryland solely to be with your spouse; and (iii) you maintain your domicile in another state. If you claim exemption under the SCRA enter your state of domicile (legal residence) on Line 8; enter "EXEMPT" in the box to the right on Line 8; and attach a copy of your spousal military identification card to Form MW507. **In addition, you must also complete and attach Form MW507M.**

Duties and responsibilities of employer. Retain this certificate with your records. You are required to submit a copy of this certificate and accompanying attachments to the Compliance Division, Compliance Programs Section, 301 West Preston Street, Baltimore, MD 21201, when received if:

- You have any reason to believe this certificate is incorrect;
- The employee claims more than 10 exemptions;
- The employee claims an exemption from withholding because he/she had no tax liability for the preceding tax year, expects to incur no tax liability this year and the wages are expected to exceed \$200 a week;
- The employee claims an exemption from withholding on the basis of nonresidence; or
- The employee claims an exemption from withholding under the Military Spouses Residency Relief Act.

Upon receipt of any exemption certificate (Form MW507), the Compliance Division will make a determination and notify you if a change is required.

Once a certificate is revoked by the Comptroller, the employer must send any new certificate from the employee to the Comptroller for approval before implementing the new certificate.

If an employee claims exemption under 3 above, a new exemption certificate must be filed by February 15th of the following year.

Duties and responsibilities of employee. If, on any day during the calendar year, the number of withholding exemptions that the employee is entitled to claim is less than the number of exemptions claimed on the withholding exemption certificate in effect, the employee must file a new withholding exemption certificate with the employer within 10 days after the change occurs.

**FORM
MW507**

Employee's Maryland Withholding Exemption Certificate

Print full name	Social Security Number
Street Address, City, State, ZIP	County of residence (Nonresidents enter Maryland county (or Baltimore City) where you are employed.)

☐ Single ☐ Married (surviving spouse or unmarried Head of Household) Rate ☐ Married, but withhold at Single rate

- Total number of exemptions you are claiming not to exceed line f in Personal Exemption Worksheet on page 2. 1. _____
- Additional withholding per pay period under agreement with employer. 2. _____
- I claim exemption from withholding because I do not expect to owe Maryland tax. See instructions above and check boxes that apply.
 - Last year I did not owe any Maryland income tax and had a right to a full refund of all income tax withheld and
 - This year I do not expect to owe any Maryland income tax and expect to have the right to a full refund of all income tax withheld. (This includes seasonal and student employees whose annual income will be below the minimum filing requirements). If both a and b apply, enter year applicable _____ (year effective) Enter "EXEMPT" here 3. _____
- I claim exemption from withholding because I am domiciled in one of the following states. Check state that applies.

☐ District of Columbia ☐ Virginia ☐ West Virginia

 I further certify that I do not maintain a place of abode in Maryland as described in the instructions above. Enter "EXEMPT" here. 4. _____
- I claim exemption from Maryland **state** withholding because I am domiciled in the Commonwealth of Pennsylvania and I do not maintain a place of abode in Maryland as described in the instructions on Form MW507. Enter "EXEMPT" here. 5. _____
- I claim exemption from Maryland **local** tax because I live in a local Pennsylvania jurisdiction within York or Adams counties. Enter "EXEMPT" here and on line 4 of Form MW507. 6. _____
- I claim exemption from Maryland **local** tax because I live in a local Pennsylvania jurisdiction that does not impose an earnings or income tax on Maryland residents. Enter "EXEMPT" here and on line 4 of Form MW507. 7. _____
- I certify that I am a legal resident of the state of _____ and am not subject to Maryland withholding because I meet the requirements set forth under the Servicemembers Civil Relief Act, as amended by the Military Spouses Residency Relief Act. Enter "EXEMPT" here. 8. _____

Under the penalty of perjury, I further certify that I am entitled to the number of withholding allowances claimed on line 1 above, or if claiming exemption from withholding, that I am entitled to claim the exempt status on whichever line(s) I completed.

Employee's signature	Date
Employer's name and address including ZIP code (For employer use only)	Federal Employer Identification Number

Personal Exemptions Worksheet

Line 1

- a. Multiply the number of your personal exemptions by the value of each exemption from the table below.
(Generally the value of your exemption will be \$3,200; however, if your federal adjusted gross income is expected to be over \$100,000, the value of your exemption may be reduced. **Do not claim any personal exemptions you currently claim at another job, or any exemptions being claimed by your spouse.** To qualify as your dependent, you must be entitled to an exemption for the dependent on your federal income tax return for the corresponding tax year. **NOTE:** Dependent taxpayers may not claim themselves as an exemption. a. _____
- b. Multiply the number of additional exemptions you are claiming for dependents 65 years old or older by the value of each exemption from the table below. b. _____
- c. Enter the estimated amount of your itemized deductions (excluding state and local income taxes) that exceed the amount of your standard deduction, alimony payments, allowable childcare expenses, qualified retirement contributions, business losses and employee business expenses for the year. Do not claim any additional amounts you currently claim at another job or any amounts being claimed by your spouse. **NOTE:** Standard deduction allowance is 15% of Maryland adjusted gross income with a minimum of \$1,500 and a maximum of \$2,000. c. _____
- d. Enter \$1,000 for additional exemptions for taxpayer and/or spouse at least 65 years old and/or blind. d. _____
- e. Add total of lines a through d. e. _____
- f. Divide the amount on line e by \$3,200. **Drop any fraction. Do not round up.** This is the **maximum** number of exemptions you may claim for withholding tax purposes. f. _____

If Your federal AGI is		If you will file your tax return	
		Single or Married Filing Separately Your Exemption is	Joint, Head of Household or Qualifying Widow(er) Your Exemption is
\$100,000 or less		\$3,200	\$3,200
Over	But not over		
\$100,000	\$125,000	\$1,600	\$3,200
\$125,000	\$150,000	\$800	\$3,200
\$150,000	\$175,000	\$0	\$1,600
\$175,000	\$200,000	\$0	\$800
In excess of \$200,000		\$0	\$0

FEDERAL PRIVACY ACT INFORMATION

Social Security Numbers must be included. The mandatory disclosure of your Social Security Number is authorized by the provisions set forth in the Tax-General Article of the Annotated Code of Maryland. Such numbers are used primarily to administer and enforce the individual income tax laws and to exchange income tax information with the Internal Revenue Service, other states and other tax officials of this state. Information furnished to other agencies or persons shall be used solely for the purpose of administering tax laws or the specific laws administered by the person having statutory right to obtain it.

FORM VA-4

COMMONWEALTH OF VIRGINIA DEPARTMENT OF TAXATION PERSONAL EXEMPTION WORKSHEET

(See back for instructions)

1. If you wish to claim yourself, write "1"
2. If you are married and your spouse is not claimed on his or her own certificate, write "1"
3. Write the number of dependents you will be allowed to claim on your income tax return (do not include your spouse).....
4. Subtotal Personal Exemptions (add lines 1 through 3).....
5. Exemptions for age
 - (a) If you will be 65 or older on January 1, write "1"
 - (b) If you claimed an exemption on line 2 and your spouse will be 65 or older on January 1, write "1"
6. Exemptions for blindness
 - (a) If you are legally blind, write "1"
 - (b) If you claimed an exemption on line 2 and your spouse is legally blind, write "1"
7. Subtotal exemptions for age and blindness (add lines 5 through 6)
8. Total of Exemptions - add line 4 and line 7

Detach here and give the certificate to your employer. Keep the top portion for your records

FORM VA-4 EMPLOYEE'S VIRGINIA INCOME TAX WITHHOLDING EXEMPTION CERTIFICATE

Your Social Security Number	Name		
Street Address			
City	State	Zip Code	

COMPLETE THE APPLICABLE LINES BELOW

1. If subject to withholding, enter the number of exemptions claimed on:
 - (a) Subtotal of Personal Exemptions - line 4 of the Personal Exemption Worksheet.....
 - (b) Subtotal of Exemptions for Age and Blindness line 7 of the Personal Exemption Worksheet.....
 - (c) Total Exemptions - line 8 of the Personal Exemption Worksheet.....
2. Enter the amount of additional withholding requested (see instructions).....
3. I certify that I am not subject to Virginia withholding. I meet the conditions set forth in the instructions (check here) ☐
4. I certify that I am not subject to Virginia withholding. I meet the conditions set forth Under the Service member Civil Relief Act, as amended by the Military Spouses Residency Relief Act (check here) ☐

Signature

Date

EMPLOYER: Keep exemption certificates with your records. If you believe the employee has claimed too many exemptions, notify the Department of Taxation, P.O. Box 1115, Richmond, Virginia 23218-1115, telephone (804) 367-8037. Note: Employers may establish a system to electronically receive Forms VA-4 from employees, provided the system meets Internal Revenue Service requirements as specified in § 31.3402(f)(5)-1(c) of the Treasury Regulations (26 CFR).

FORM VA-4 INSTRUCTIONS

Use this form to notify your employer whether you are subject to Virginia income tax withholding and how many exemptions you are allowed to claim. You must file this form with your employer when your employment begins. If you do not file this form, your employer must withhold Virginia income tax as if you had no exemptions.

PERSONAL EXEMPTION WORKSHEET

You may not claim more personal exemptions on form VA-4 than you are allowed to claim on your income tax return unless you have received written permission to do so from the Department of Taxation.

Line 1. You may claim an exemption for yourself.

Line 2. You may claim an exemption for your spouse if he or she is not already claimed on his or her own certificate.

Line 3. Enter the number of dependents you are allowed to claim on your income tax return.

NOTE: A spouse is not a dependent.

Line 5. If you will be age 65 or over by January 1, you may claim one exemption on Line 5(a). If you claim an exemption for your spouse on Line 2, and your spouse will also be age 65 or over by January 1, you may claim an additional exemption on Line 5(b).

Line 6. If you are legally blind, you may claim an exemption on Line 6(a). If you claimed an exemption for your spouse on Line 2, and your spouse is legally blind, you may claim an exemption on Line 6(b).

FORM VA-4

Be sure to enter your social security number, name and address in the spaces provided.

Line 1. If you are subject to withholding, enter the number of exemptions from:

- (a) Subtotal of Personal Exemptions - line 4 of the Personal Exemption Worksheet
- (b) Subtotal of Exemptions for Age and Blindness - line 7 of the Personal Exemption Worksheet
- (c) Total Exemptions - line 8 of the Personal Exemption Worksheet

Line 2. If you wish to have additional tax withheld, and your employer has agreed to do so, enter the amount of additional tax on this line.

Line 3. If you are not subject to Virginia withholding, check the box on this line. You are not subject to withholding if you meet any one of the conditions listed below. Form VA-4 must be filed with your employer for each calendar year for which you claim exemption from Virginia withholding.

- (a) You had no liability for Virginia income tax last year and you do not expect to have any liability for this year.
- (b) You expect your Virginia adjusted gross income to be less than the amount shown below for your filing status:

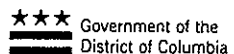
	Taxable Years 2005, 2006 and 2007	Taxable Years 2008 and 2009	Taxable Years 2010 and 2011	Taxable Years 2012 and Beyond
Single	\$7,000	\$11,250	\$11,650	\$11,950
Married	\$14,000	\$22,500	\$23,300	\$23,900
Married, filing a separate return	\$7,000	\$11,250	\$11,650	\$11,950

(c) You live in Kentucky or the District of Columbia and commute on a daily basis to your place of employment in Virginia.

(d) You are a domiciliary or legal resident of Maryland, Pennsylvania or West Virginia whose only Virginia source income is from salaries and wages and such salaries and wages are subject to income taxation by your state of domicile.

Line 4. Under the Servicemember Civil Relief Act, as amended by the Military Spouses Residency Relief Act, you may be exempt from Virginia income tax on your wages if (i) your spouse is a member of the armed forces present in Virginia in compliance with military orders; (ii) you are present in Virginia solely to be with your spouse; and (iii) you maintain your domicile in another state. If you claim exemption under the SCRA check the box on Line 4 and attach a copy of your spousal military identification card to Form VA-4.

This is a FILL-IN format. Please do not handwrite any data on this form other than your signature.



Form D-4A Certificate of Nonresidence in the District of Columbia

Enter Year

First name

M.I. Last name

Temporary DC address (number and street)

Social security number

Permanent address (number and street)

Apartment number

City

State

Zip code + 4

Country or U.S. commonwealth

Signature

Signature

Under penalties of law, I certify that my permanent residence is not in DC and that I will not be residing in DC for 183 days or more in the tax year.

Date

Revised 02/2015

Instructions

Who must file a Form D-4A?

If you are not a resident of DC you must file a Form D-4A with your employer to establish that you are not subject to DC income tax withholding. You qualify as a nonresident if:

- Your permanent residence is outside DC during all of the tax year and you do not reside in DC for 183 days or more in the tax year.
- You are a service member's spouse.

Employees who are residents of DC should file a Form D-4, DC Withholding Allowance Certificate.

What If your resident status changes?

If you become a DC resident any time after you have filed a Form D-4A with your employer, you must file a Form D-4 promptly so that the proper amount of DC income tax can be withheld from your wages.

How do you file the Form D-4?

After completing this form, give it to your employer to keep on file.

DIRECTIONS

- SECTION 1 (TO BE COMPLETED BY PAYEE)**

SECTION 2 (TO BE COMPLETED BY PAYEE OR FINANCIAL INSTITUTION)**SECTION 3 (TO BE COMPLETED BY FINANCIAL INSTITUTION)**

Financial institutions should refer to the GREEN BOOK for further instructions.

THE FINANCIAL INSTITUTION SHOULD MAIL THE COMPLETED FORM TO THE GOVERNMENT AGENCY IDENTIFIED ABOVE.

1199-207

AMERICAN
OVERSIGHT

DOJ-17-0211-B-000026

SECTION I

Complete Section I with your current or new residence mailing address. This address is used to mail out employee Pay and TSP statements, W-2 forms and other personal documents.

NOTE: This form does not change the U.S. Savings Bond address.

1. NAME (Last, First, Middle)		2. SOCIAL SECURITY NO.	
3. STREET ADDRESS OR P.O. BOX		4. APT NO.	
5. CITY NAME	6. STATE or COUNTRY NAME		7. ZIP CODE
AGENCY USE	CITY CODE	COUNTY CODE	STATE OR COUNTRY CODE

SECTION II

FOR EMPLOYEES WITH DIRECT DEPOSIT COMPLETE BLOCKS 13 AND 14 ONLY.

Employees who wish to receive their checks in the mail complete blocks 8 through 14 with your current or new check mailing address.

8. STREET ADDRESS or P.O. BOX		9. APT NO.	
10. CITY NAME	11. STATE or COUNTRY NAME		12. ZIP CODE
AGENCY USE	CITY CODE	COUNTY CODE	STATE OR COUNTRY CODE
13. SIGNATURE OF EMPLOYEE			14. DATE SIGNED

General

information is provided pursuant to Public Law 93-579 (Privacy Act of 1974), December 31, 1974, for individuals completing Form AD-349.

Authority

5 USC 301.

Purpose and Uses

This form is used to obtain an employees home address and check mailing address.

Information Regarding Disclosure of Your Social Security Number Under Public Law 93-579 Section 7(b) (Privacy Act of 1974)

Disclosure by you of your Social Security Number (SSN) is mandatory to obtain the services, benefits, or processes that you are seeking. Solicitation of the SSN by the United States Department of Agriculture is authorized under provisions of Executive Order 9397, dated November 22, 1943. The SSN is used as an identifier throughout your Federal career from the time of application through retirement. It will be used primarily to identify your records that you file with the U.S. Department of Agriculture. The SSN also will be used by the U.S. Department of Agriculture and other Federal agencies in connection with lawful requests for information about you from your former employers, educational institutions, and financial or other organizations. The information gathered through the use of the number will be used only as necessary in personnel administration processes carried out in accordance with established regulations and published notices of systems of records. The SSN also will be used for the selection of persons to be included in statistical studies of personnel management matters. The use of the SSN is made necessary because of the large number of present and former Federal employees and applicants who have identical names and birth dates, and whose identifies can only be distinguished by the SSN.

INSTRUCTIONS: This form is to be completed by all employees upon initial employment (accession) and whenever any information on the form changes. Changes should be promptly recorded by submission of this form to your administrative office. In accordance with the provisions of the Privacy Act of 1974, a submission of some data is MANDATORY. Other data is requested on a VOLUNTARY basis for the safety and convenience of the employee. The MANDATORY or VOLUNTARY nature of the data is indicated in the applicable Privacy Act Statement. Certain portions of the form are to be completed by the employee's personnel office or administrative office. Employees should leave these portions of the form blank. If you have any questions regarding completion of the form, please consult your Administrative Office.

EMPLOYEE INFORMATION

PRIVACY ACT STATEMENT: SOCIAL SECURITY NUMBER-1. AUTHORITY: Executive Order 9397 dated November 22, 1943. 2. PURPOSE AND USE: The Social Security Number (SSN) is used as a unique identifier for matching locator records in personnel and payroll files. Use of the SSN ensure correct identification of records with the same name. EFFECTS OF NON- DISCLOSURE: Disclosure of the SSN is MANDATORY. Failure to disclose the SSN while reporting changes will result in the changes not being effected.

Social Security Number: _____ DATE: _____

Name (LAST, FIRST, MI): _____, _____, _____

PRIVACY ACT STATEMENT: TELEPHONE NUMBER-1. AUTHORITY: 5 U.S.C. Section 301 2. PURPOSE AND USE: To contact employees at their residence on matters of an official nature relating to their employment with the Department of Justice. Access to this information is limited to the employee's supervisor(s) OR individuals authorized by the supervisor(s). 3. EFFECTS OF NON- DISCLOSURE: submission of this data is VOLUNTARY. If the data is not submitted, supervisory personnel may have difficulty locating employees to inform them of emergency work situations.

Home Phone: _____

EMERGENCY CONTACT INFORMATION

PRIVACY ACT STATEMENT: EMERGENCY LOCATOR-1. AUTHORITY: 5 U.S.C. Sections 301, 7901. 2. PURPOSE AND USE: To obtain emergency treatment or to notify friends or family in the event of employee injury or illness. 3. EFFECTS OF NON-DISCLOSURE: Submission of this data is VOLUNTARY and solely for the employee's safety and convenience.

Emergency Contact (Last, First) _____

Relationship _____

Phone Number: _____, EXT _____

OFFICE ADDRESS

BUILDING NAME _____ ROOM NO. _____

BUILDING ADDRESS _____

OFFICE PHONE (_____) _____ - _____

FORM DOJ-543
JUNE 92

U.S. Office of Personnel Management Guide to Personnel Data Standards	ETHNICITY AND RACE IDENTIFICATION (Please read the Privacy Act Statement and instructions before completing form.)	
Name (Last, First, Middle Initial)	Social Security Number	Birthdate (Month and Year)
Agency Use Only		
Privacy Act Statement Ethnicity and race information is requested under the authority of 42 U.S.C. Section 2000e-16 and in compliance with the Office of Management and Budget's 1997 Revisions to the Standards for the Classification of Federal Data on Race and Ethnicity. Providing this information is voluntary and has no impact on your employment status, but in the instance of missing information, your employing agency will attempt to identify your race and ethnicity by visual observation. This information is used as necessary to plan for equal employment opportunity throughout the Federal government. It is also used by the U. S. Office of Personnel Management or employing agency maintaining the records to locate individuals for personnel research or survey response and in the production of summary descriptive statistics and analytical studies in support of the function for which the records are collected and maintained, or for related workforce studies. Social Security Number (SSN) is requested under the authority of Executive Order 9397, which requires SSN be used for the purpose of uniform, orderly administration of personnel records. Providing this information is voluntary and failure to do so will have no effect on your employment status. If SSN is not provided, however, other agency sources may be used to obtain it.		
Specific Instructions: The two questions below are designed to identify your ethnicity and race. Regardless of your answer to question 1, go to question 2.		
Question 1. Are You Hispanic or Latino? (A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.) <input type="checkbox"/> Yes <input type="checkbox"/> No		
Question 2. Please select the racial category or categories with which you most closely identify by placing an "X" in the appropriate box. Check as many as apply.		
RACIAL CATEGORY (Check as many as apply)	DEFINITION OF CATEGORY	
<input type="checkbox"/> American Indian or Alaska Native	A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.	
<input type="checkbox"/> Asian	A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.	
<input type="checkbox"/> Black or African American	A person having origins in any of the black racial groups of Africa.	
<input type="checkbox"/> Native Hawaiian or Other Pacific Islander	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.	
<input type="checkbox"/> White	A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.	

Standard Form 181
 Revised August 2005
 Previous editions not usable

42 U.S.C. Section 2000e-16

NSN 7540-01-099-3446

SELF-IDENTIFICATION OF DISABILITY

(See Privacy Act information and additional instructions on reverse)

Last Name, First Name, and MI

Date of Birth (MM/YY)

Social Security Number

Purpose:

Each agency in the Executive Branch of the Federal government has established programs to facilitate the hiring, placement, and advancement of individuals with disabilities. Self-identification of disability status is essential for effective data collection and analysis of the Federal government's efforts. While self-identification is voluntary, your cooperation in providing accurate information is critical to these efforts. Every precaution is taken to ensure that the information provided by each employee is kept in the strictest confidence.

ENTER CODE HERE →

Targeted Disabilities or Health Conditions:

2- Developmental Disability, for example, autism spectrum disorder
 3- Traumatic Brain Injury
 19- Deaf or serious difficulty hearing, benefiting from, for example, American Sign Language, CART, hearing aids, a cochlear implant and/or other supports
 20- Blind or serious difficulty seeing even when wearing glasses
 31- Missing extremities (arm, leg, hand and/or foot)
 40- Significant mobility impairment, benefiting from the utilization of a wheelchair, scooter, walker, leg brace(s) and/or other supports
 60- Partial or complete paralysis (any cause)
 82- Epilepsy or other seizure disorders
 90- Intellectual disability
 91- Psychiatric disability
 92- Dwarfism
 93- Significant disfigurement, for example, disfigurements caused by burns, wounds, accidents, or congenital disorders

Other Options:

01 - I do not wish to identify my disability status.
 05 - I do not have a disability.
 06 - I have a disability, but it is not listed on this form.

Other Disabilities or Health Conditions:

13- Speech impairment
 41- Spinal abnormalities, for example, spina bifida or scoliosis
 44- Non-paralytic orthopedic impairments, for example, chronic pain, stiffness, weakness in bones or joints, some loss of ability to use part or parts of the body
 51- HIV Positive/AIDS
 52- Morbid obesity
 59- Nervous system disorder for example, migraine headaches, Parkinson's disease, or multiple sclerosis
 80- Cardiovascular or heart disease
 83- Blood diseases, for example, sickle cell anemia, hemophilia
 84- Diabetes
 85- Orthopedic impairments or osteoarthritis
 86- Pulmonary or respiratory conditions, for example, tuberculosis, asthma, emphysema
 87- Kidney dysfunction
 88- Cancer (Present or past history)
 94- Learning disability or attention deficit/hyperactivity disorder (ADD/ADHD)
 95- Gastrointestinal disorders, for example, Crohn's Disease, irritable bowel syndrome, colitis, celiac disease, dysphexia
 96- Autoimmune disorder, for example, lupus, fibromyalgia, rheumatoid arthritis
 97- Liver disease, for example, hepatitis or cirrhosis
 98- History of alcoholism or history of drug addiction (but not currently using illegal drugs)
 99- Endocrine disorder, for example, thyroid dysfunction

Definition

An individual with a disability: A person who (1) has a physical or mental impairment which substantially limits one or more major life activities; (2) has a record of such an impairment; or (3) is regarded as having such an impairment. This definition is provided by the Rehabilitation Act of 1973, as amended (29 U.S.C. 701, et seq.).

The Rehabilitation Act of 1973

The Rehabilitation Act of 1973, as amended (29 U.S.C. 701, et seq.), requires each agency in the Executive Branch of the Federal government to establish programs that will facilitate the hiring, placement, and advancement of individuals with disabilities. One method for determining agency progress in fulfilling these requirements is through the production of reports at certain intervals showing, for example, the number of employees with disabilities who are hired, promoted, trained, or reassigned over a given time period; the percentage of employees with disabilities in the work force and in various grades and occupations; etc. Such reports bring to the attention of agency top management, OPM, and the Congress, the progress or any deficiencies within specific agencies or the Federal government as a whole in the hiring, placement, and advancement of individuals with disabilities.

The disability data collected on employees will be used only in the production of reports such as those previously mentioned and not for any purpose that will affect them individually. The only exception to this rule is that the records may be used for selective placement purposes and selecting special populations for mailing of voluntary personnel research surveys. In addition, every precaution will be taken to ensure that the information provided by each employee is kept in the strictest confidence and is known only to those individuals in the agency Personnel Office, who obtain and record the information for entry into the agency's and OPM's personnel systems. You should also be aware that participation in the disability reporting system is entirely voluntary, with the exception of employees appointed under the Schedule A Excepted Appointing Authority for People with Intellectual Disability, Severe Physical Disability, or Psychiatric Disability (5 CFR 213.3102(u)). Agencies will request that these employees identify their disability status and, if they decline to do so, their correct disability code will be obtained from medical documentation used to support their appointment.

Employees who wish to confirm the disability code carried in their agency's and OPM's personnel systems is consistent with the employees' representation, may ask their Personnel Officer for a printout of the code and definition from their individual records. The code noted in the employees' records in the agencies' system will be identical to that carried in OPM's system.

Privacy Act Statement

Collection of the requested information is authorized by the Rehabilitation Act of 1973, as amended (29 U.S.C. 701, et seq.). Solicitation of your Social Security Number (SSN) is authorized by Executive Order 9397, which permits agencies to use the SSN as a means for identifying persons with disabilities in personnel information systems. Your SSN will only be used to ensure that your correct disability code is recorded along with other employee information that your agency and OPM maintain on you. It should be noted, however, that where individuals decline to furnish their SSN, the SSN will be obtained from other records in order to ensure accurate and complete data. Employees appointed under the Schedule A Appointing Authority for People with Intellectual Disability, Severe Physical Disability, or Psychiatric Disability (5 CFR 213.3102(u)) are requested to furnish an accurate disability code, but failure to do so will not affect them. Where employees hired under this authority fail to disclose their disability, the appropriate code will be determined from the employee's existing records or medical documentation submitted upon appointment.

EMPLOYMENT BENEFITS

Benefits Points of Contact

Justice Management Division

Harold Menton
Room 9W.134, 2 CON
Phone: (202) 616-3840
FAX: (202) 616-3724
E-mail: Harold.menton@usdoj.gov

Office, Boards, and Divisions

Blaine Jackson
Room 9W.128, 2 CON
Phone: (202) 514-7772
FAX: (202) 616-3724
E-mail: blaine.jackson@usdoj.gov

Summary of Benefits Actions for New Hires

Health Insurance (FEHBP)

SF-2809 must be completed and returned to Personnel within 60 days. Coverage will be effective at the beginning of the pay period after the form is received in Personnel. *You must return this form, even if you do not want FEHBP coverage.*

Dental and Vision Insurance (FEDVIP)

Must be done by you within 60 days if you want this coverage. You must enroll online at www.benefeds.com or call 1-877-888-3337. Personnel cannot do this for you.

Flexible Spending Account (FSA)

Must be done by you within 60 days if you want one. You must enroll online at www.fsafeds.com or call 1-877-372-3337. Personnel cannot do this for you.

Long Term Care Insurance (LTC)

Must be done by you if you want this coverage. You must enroll online at www.ltcfeds.com or call 1-877-582-3337. Personnel cannot do this for you. If you enroll in your first 60 days, there will be limited underwriting and you will not have to answer too many medical questions.

Life Insurance (FEGLI)

SF-2817 must be completed and returned to Personnel within 60 days. You are covered for basic as of the date of your appointment. Optional coverage will be effective at the beginning of the pay period after the form is received in Personnel. If you wish to waive coverage, complete the form and return it by the Friday following the week you entered on duty to avoid paying the premium for the current. *You must return this form, even if you are just electing to basic coverage.*

Thrift Savings Plan (TSP)

You may contribute up to \$18,000 to TSP this year. You are automatically enrolled and will contribute 3% of basic pay each pay period. Form TSP-1 must be completed and returned to Personnel to change your contributions. Be sure to subtract any contributions you already made in tax year 2016 to a 401(k), 403(b), 457 plan, etc., from \$18,000 to determine the amount you can contribute to TSP in 2017.

If you are over age 50, you may make up to \$6,000 in catch-up contributions. Form TSP-1-C must be completed and returned to Personnel to make catch-up contributions. To make catch-up contributions, you must be contributing the full \$18,000 for 2016. Be sure to subtract any contributions you already made in tax year 2016 to a 401(k), 403(b), 457 plan, etc., from \$6,000 to determine the amount you can contribute to make-up to TSP in 2017.

NOTE: The payroll/tax year ends with pay period 24 for 2017.

How to Join the Leave Bank

New employees have a 30 day window from the date of employment to join the Leave Bank.

You must donate accrued annual leave to become a leave bank member. You must donate the number of hours you accrue in one pay period (based upon your 4, 6, or 8 hour accrual category).

1. Go to the DOJNET.
2. On the top tool bar, under "Your Health and Welfare", click the "Leave Transfer and Leave Bank" link.
3. On the left side, click the "Voluntary Leave Bank Membership Program" link.
4. Under "How to Become a Leave Bank Member", click on "Instructions for New/Returning Employees and Application", and follow the instructions on that link.

HEALTH BENEFITS AND LIFE INSURANCE PROGRAM ACKNOWLEDGMENT FORM

I have received the information or literature about the Federal Employees Health Benefits and the Federal Employees Group Life Insurance programs, as well as the Voluntary Leave Bank Program.

LIFE INSURANCE

I understand that I have 60 days from the effective date of my appointment to complete the SF-2817, Life Insurance Election Form, and return it to the Justice Management Division (JMD) Human Resources Office, whether I elect to enroll or not. I understand that unless I waive basic life insurance coverage within the first pay period of my appointment, my coverage will begin on that date. I understand that if I return the Form SF-2817 waiving coverage to the JMD Human Resources Office within the first pay period of my appointment, there will be no deductions for life insurance. I also understand that if I waive life insurance coverage at this time, I cannot elect it at a later date without approval from Office of Federal Employees Group Life Insurance (OFEGLI) and I must wait one year from the date I waived coverage to apply.

HEALTH INSURANCE

I understand that I have 60 days from the effective date of my appointment to complete the SF-2809, Health Benefits Registration Form, and return it to the JMD Human Resources Office, whether I elect to enroll or not. I also understand that if I do not elect to enroll within the first 60 days of my appointment, I will not be able to enroll until the next open season, unless I have a qualifying life event that allows enrollment.

LONG TERM CARE INSURANCE

I understand that I have 60 days from the effective date of my appointment to apply for Long Term Care Insurance to have an abbreviated underwriting process. I also understand that if I do not elect to enroll within the first 60 days of my appointment, I will be able to enroll but will have a more complicated underwriting process.

FLEXIBLE SPENDING ACCOUNT

I understand that I have 60 days from the effective date of my appointment to open a Flexible Spending Account. I also understand that if I do not elect to open an account within the first 60 days of my appointment, I will not be able to open an account until the next open season.

VOLUNTARY LEAVE BANK PROGRAM

I understand that I have 30 days to become a member of the Voluntary Leave Bank Program. I also understand that if I do not elect to join within the first 30 days of my appointment, I cannot be a recipient this year and must wait until open season for the following year.

(Printed Name)

(Signature)

(Date)

Federal Employees Health Benefits Program (FEHB)

Unexpected accidents and illnesses can be expensive. Even routine doctor visits and prescriptions can add up. With FEHB, you have 11 or more health plans to choose from. Each plan provides comprehensive coverage for you, your spouse, and your children under age 26. **Your agency contributes to the premium.** There are **no waiting periods** and no restrictions on pre-existing conditions. And FEHB now offers Self Plus One coverage. Cheers to good health!

Federal Employees Dental and Vision Insurance Program (FEDVIP)

If you want more dental coverage than what your health plan offers, FEDVIP's comprehensive **dental insurance can cover you, your spouse, and your unmarried dependent children under age 22** for cleanings, x-rays, cavities, orthodontics, and more. With 10 dental plans to choose from, it's easy to keep your family smiling.

Federal Employees Dental and Vision Insurance Program (FEDVIP)

If you want more vision coverage than what your health plan offers, FEDVIP's comprehensive vision insurance can cover you, your spouse, and your unmarried dependent children under age 22 for **eye exams, glasses, contact lenses, and even laser eye surgery.** With **4 vision plans** to choose from and **premiums starting around \$3 biweekly,** you're looking well.

Federal Employees' Group Life Insurance Program (FEGLI)

With FEGLI, your family is protected from burdensome funeral costs and catastrophic income loss if you die unexpectedly. You can **get coverage from as little as one year's salary to more than six years' salary** and many options in between. You can also get coverage for your spouse and eligible children. Now that's peace of mind you can live with. A helping hand when you need it.

Federal Long Term Care Insurance Program (FLTCIP)

If you cannot perform everyday tasks such as eating, dressing, and bathing because of a chronic illness, injury, disability, or aging, long term care insurance can help you pay for the assistance you need. With FLTCIP, you and your eligible family members can be protected from this **financial burden that can cost an average of \$30,000 to \$83,000 a year.**

Federal Flexible Spending Account Program (FSAFEDS)

More than 350,000 Feds use pre-tax dollars to save on their health and dependent care expenses. It's like a **30% discount** for what your family spends on **prescriptions, doctor visits, glasses, orthodontics, and other health expenses.** It's also like a 30% discount on **daycare expenses** for your children under age 13 and on daycare for your adult dependents. When you're in FSAFEDS, you're in the money.

MORE INFO: www.opm.gov/insure

For complete information, including terms and conditions, please visit www.opm.gov/insure.



U.S. OFFICE OF PERSONNEL MANAGEMENT

FEHB & FEDVIP

HEALTH INSURANCE

Unexpected accidents and illnesses can be expensive. Even routine doctor visits and prescriptions can add up. With FEHB, you can get **comprehensive health insurance coverage for you, your spouse, and your children under age 26.**

There are no waiting periods and no restrictions on pre-existing conditions. All plans offer preventative services at no cost when received from a Preferred Provider. This includes childhood immunizations, screenings for cancer, diabetes, and high blood pressure, and tobacco cessation services and medications. No matter where you live, you have 11 or more health plan options to choose from, each covering:

- Routine physical exams
- Doctor's office visits
- Specialist visits
- Lab tests
- Prescriptions
- Ambulance services
- Inpatient hospital care
- Surgery
- X-rays
- Maternity care
- Urgent care
- Mental health services
- Stop smoking aids
- Physical therapy
- And more

Who can enroll?

Most Federal employees are eligible

Annuity holders may be eligible to continue their FEHB coverage into retirement if they meet certain requirements

Check with your human resources office if you are unsure

When can I enroll?

During your first 60 days as a newly eligible employee; or

During the Federal Benefits Open Season (mid-November to mid-December); or

When you have a qualifying life event such as marriage, divorce, or birth

How much does it cost?

It depends on what plan you select

Each pay period, you pay about 30% of the premium and your agency pays about 70%

Generally you also pay part of the cost for any service you receive

How do I enroll?

Use your agency electronic enrollment system, or

visit www.opm.gov/forms and submit form SF 2809 to your human resources office

Annuity holders not currently enrolled in FEHB cannot enroll after retirement

Online tools can help you select the right plan for your family:

Use the plan comparison tools at www.opm.gov/FEHBcompare

Complete cost and coverage information for each plan available at www.opm.gov/health

MORE INFO: www.opm.gov/health

For complete information, including terms and conditions, please review each plan's brochure.

Health Benefits Election Form

Part A: Enrollee and Family Member Information (for additional family members use a separate sheet and attach)

1. Enrollee name (last, first, middle initial)		2. Social Security Number	3. Date of birth (mm/dd/yyyy)	4. Sex <input type="checkbox"/> M <input type="checkbox"/> F	5. Are you married? <input type="checkbox"/> Yes <input type="checkbox"/> No
6. Home mailing address (including ZIP Code)			7. If you are covered by Medicare, check all that apply. <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> D		8. Medicare Claim Number
			9. Are you covered by insurance other than Medicare? <input type="checkbox"/> Yes, indicate in item 10 below. <input type="checkbox"/> No		
10. Indicate the type(s) of other insurance: <input type="checkbox"/> TRICARE <input type="checkbox"/> Other Name of other insurance: _____ Policy Number: _____ <input type="checkbox"/> FEHB An FEHB Self Plus One enrollment covers the enrollee and one eligible family member designated by the enrollee. An FEHB Self and Family enrollment covers the enrollee and all eligible family members. No person may be covered under more than one FEHB enrollment. See instructions for item 10 on page 1.					
11. Email address			12. Preferred telephone number		
13. Name of family member (last, first, middle initial)		14. Social Security Number	15. Date of birth (mm/dd/yyyy)	16. Sex <input type="checkbox"/> M <input type="checkbox"/> F	17. Relationship code
18. Address (if different from enrollee)			19. If this family member is covered by Medicare, check all that apply. <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> D		20. Medicare Claim Number
			21. Is this family member covered by insurance other than Medicare? <input type="checkbox"/> Yes, indicate in item 22 below. <input type="checkbox"/> No		
22. Indicate the type(s) of other insurance: <input type="checkbox"/> TRICARE <input type="checkbox"/> Other Name of other insurance: _____ Policy Number: _____ <input type="checkbox"/> FEHB An FEHB Self Plus One enrollment covers the enrollee and one eligible family member designated by the enrollee. An FEHB Self and Family enrollment covers the enrollee and all eligible family members. No person may be covered under more than one FEHB enrollment. See instructions for item 10 on page 1.					
23. Email address (if applicable, enter email address of your spouse or adult child)			24. Preferred telephone number (if applicable, enter preferred phone number of your spouse or adult child)		
25. Name of family member (last, first, middle initial)		26. Social Security Number	27. Date of birth (mm/dd/yyyy)	28. Sex <input type="checkbox"/> M <input type="checkbox"/> F	29. Relationship code
30. Address (if different from enrollee)			31. If this family member is covered by Medicare, check all that apply. <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> D		32. Medicare Claim Number
			33. Is this family member covered by insurance other than Medicare? <input type="checkbox"/> Yes, indicate in item 34 below. <input type="checkbox"/> No		
34. Indicate the type(s) of other insurance: <input type="checkbox"/> TRICARE <input type="checkbox"/> Other Name of other insurance: _____ Policy Number: _____ <input type="checkbox"/> FEHB An FEHB Self Plus One enrollment covers the enrollee and one eligible family member designated by the enrollee. An FEHB Self and Family enrollment covers the enrollee and all eligible family members. No person may be covered under more than one FEHB enrollment. See instructions for item 10 on page 1.					
35. Email address (if applicable, enter email address of your spouse or adult child)			36. Preferred telephone number (if applicable, enter preferred phone number of your spouse or adult child)		
37. Name of family member (last, first, middle initial)		38. Social Security Number	39. Date of birth (mm/dd/yyyy)	40. Sex <input type="checkbox"/> M <input type="checkbox"/> F	41. Relationship code
42. Address (if different from enrollee)			43. If this family member is covered by Medicare, check all that apply. <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> D		44. Medicare Claim Number
			45. Is this family member covered by insurance other than Medicare? <input type="checkbox"/> Yes, indicate in item 46 below. <input type="checkbox"/> No		
46. Indicate the type(s) of other insurance: <input type="checkbox"/> TRICARE <input type="checkbox"/> Other Name of other insurance: _____ Policy Number: _____ <input type="checkbox"/> FEHB An FEHB Self Plus One enrollment covers the enrollee and one eligible family member designated by the enrollee. An FEHB Self and Family enrollment covers the enrollee and all eligible family members. No person may be covered under more than one FEHB enrollment. See instructions for item 10 on page 1.					
47. Email address (if applicable, enter email address of your spouse or adult child)			48. Preferred telephone number (if applicable, enter preferred phone number of your spouse or adult child)		

(Continued on the reverse)

For agency distribution of copies, see page 5 of the instructions.

Standard Form 2809
Revised November 2015
Previous edition is not usable.

Enrollee name: _____ Date of birth: _____

Part B - FEHB Plan You Are Currently Enrolled In (if applicable)

1. Plan name _____
2. Enrollment code _____

Part C - FEHB Plan You Are Enrolling In or Changing To

1. Plan name _____
2. Enrollment code _____

Part D - Event That Permits You To Enroll, Change, or Cancel (see page 2)

1. Event code _____
2. Date of event _____

Part E - Election NOT to Enroll (Employees Only)

☐ I do NOT want to enroll in the FEHB Program.
My signature in Part H certifies that I have read and understand the information on page 3 regarding this election.

Part F - Cancellation of FEHB

☐ I CANCEL my enrollment.
My signature in Part H certifies that I have read and understand the information on page 3 regarding cancellation of enrollment.

Part G - Suspension of FEHB (Annuitants/Former Spouses Only)

☐ I SUSPEND my enrollment.
My signature in Part H certifies that I have read and understand the information on page 4 regarding suspension of enrollment.

Part H - Signature

WARNING: Any intentionally false statement in this application or willful misrepresentation relative thereto is a violation of the law punishable by a fine of not more than \$10,000 or imprisonment of not more than 5 years, or both. (18 U.S.C. 1001.)

1. Your signature (do not print) _____

2. Date (mm/dd/yyyy) _____

Part I - To be completed by agency or retirement system

REMARKS

1. Date received (mm/dd/yyyy)	2. Effective date of action (mm/dd/yyyy)	3. Personnel telephone number (202) 514-7772
4. Name and address of agency or retirement system IS Department of Justice 145 N Street, NE, Suite 9W.300 Washington, DC 20530		5. Authorizing official (please print) Blaine C. Jackson, Jr.
7. Payroll office number 12400001	8. Payroll office contact (please print) Tamira Murphy	6. Signature of authorized agency official 9. Payroll telephone number (202) 616-9008

DENTAL INSURANCE

If you want more dental coverage than what your health plan offers, FEDVIP provides **comprehensive dental insurance with no waiting periods** (except orthodontia in some plans). You have several plans to choose from, each covering:

**Routine exams
and cleanings
X-rays**

**Crowns
Root canals
Dentures**

**Fillings
Orthodontics
And more!**

Who can enroll?

Federal employees who are eligible to enroll in FEHB health insurance, but you do not have to be enrolled in FEHB

Annuitants receiving an immediate annuity regardless of FEHB eligibility

Contact your human resources office if you are unsure of your eligibility

Who is covered by my enrollment?

Self Only covers just you

Self Plus One covers you and one specified eligible family member: your spouse or one unmarried dependent child under age 22

Self and Family covers you, your spouse, and all your unmarried dependent children under age 22 listed on your enrollment

When can I enroll?

During your first 60 days as a newly eligible employee; or

During the Federal Benefits Open Season (mid-November to mid-December); or

When you have a qualifying life event such as marriage or losing other dental coverage

How much does it cost?

It depends on what plan you select and where you live. Some areas pay higher premiums than others

Routine basic services like exams and cleanings are covered 100% when you use a network dentist. For other services, you usually pay part of the cost out-of-pocket

Online tools can help you select the right plan for your family:

Plan comparison tools available at www.opm.gov/FEDVIPcompare

Complete cost and coverage information for each plan available at www.opm.gov/dental

ENROLLMENT INFO: www.benefeds.com or 1-877-888-3337

For complete information, including terms and conditions, please review each plan's brochure.

VISION INSURANCE

If you want more vision coverage than what your health plan offers, FEDVIP provides **comprehensive vision insurance for you and your eligible family members**. You have 4 plans to choose from, each covering:

Routine eye exams

Contact lenses

Discounts on laser eye surgery

Eyeglass frames and lenses

Lens options such as shatter-resistant polycarbonate; scratch-resistant, anti-reflective, and UV coatings; and tinted and progressive lenses

Who can enroll?

Federal employees who are eligible to enroll in FEHB health insurance, but you do not have to be enrolled in FEHB

Annuitants receiving an immediate annuity regardless of FEHB eligibility

Contact your human resources office if you are unsure of your eligibility

Who is covered by my enrollment?

Self Only covers just you

Self Plus One covers you and one specified eligible family member: your spouse or one unmarried dependent child under age 22

Self and Family covers you, your spouse, and all your unmarried dependent children under age 22 listed on your enrollment

When can I enroll?

During your first 60 days as a newly eligible employee; or

During the Federal Benefits Open Season (mid-November to mid-December); or

When you have a qualifying life event such as marriage or losing other vision coverage

How much does it cost?

It depends on what plan you select. Vision premiums start at around \$3 biweekly (\$7 monthly) for Self Only

All plans provide benefits for your choice of either glasses or contacts

Online tools can help you select the right plan for your family:

Plan comparison tools available at www.opm.gov/FEDVIPcompare

Complete cost and coverage information for each plan available at www.opm.gov/vision

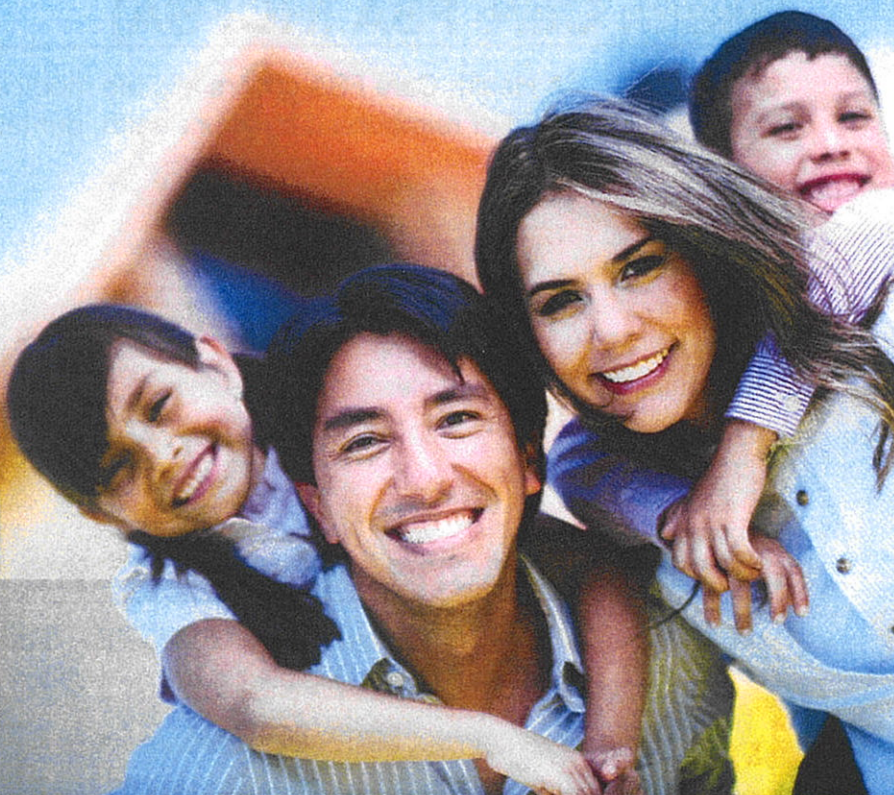
ENROLLMENT INFO: www.benefeds.com or 1-877-888-3337

For complete information, including terms and conditions, please review each plan's brochure.

FLEXIBLE SPENDING ACCOUNTS (FSAFEDS)



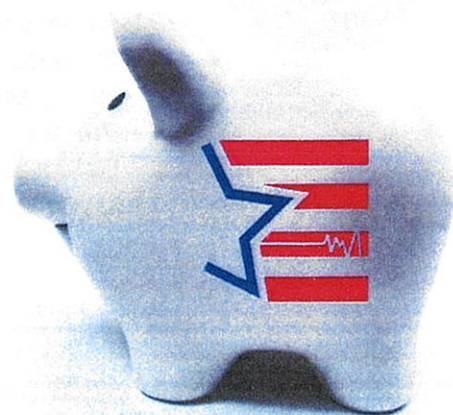
The Benefit that Saves You Money



Sign Up and Save with FSAFEDS

As a Federal employee, you're eligible for a wide variety of employee benefits, including the FSAFEDS Program. Through FSAFEDS, you can enroll in a Flexible Spending Account (FSA) and use pre-tax dollars to pay for eligible expenses for you, your spouse, and your qualifying children or relatives. An FSA provides a tax break, and it's simple to use.

Save an average of 30% by using tax-free money to cover expenses that you're currently paying for out of pocket. That means if you earn \$60,000 and contribute \$2,000 to your FSAFEDS account, you save about \$600 each year.



The types of products or services that are FSA-eligible depend on the type of FSA you have. Just choose the FSAs that are right for you and your family:

Health Care FSA (HCFSA)



A Health Care FSA covers eligible medical, dental, and vision expenses that are not paid or reimbursed by your health, dental or vision care plan.

Typical HCFSA Expenses:

- Doctor visits
- Surgery
- Physical therapy
- Prescription drugs
- Dental cleanings and X-rays
- Braces
- Massage therapy
- Eyeglasses
- Contacts
- Over-the-counter items like bandages, contraceptives, and diabetes supplies

Limited Expense Health Care FSA (LEX HCFSA)



A Limited Expense Health Care FSA is compatible with a Health Savings Account and reimburses eligible dental and vision expenses.

Typical LEX HCFSA Expenses:

- Dental checkups
- X-rays
- Cleanings
- Crowns
- Braces
- Vision exams
- Eyeglasses
- Contacts
- Solutions
- Corrective vision surgery

Dependent Care FSA (DCFSA)



A Dependent Care FSA provides funds for eligible child or adult daycare expenses so you take care of your loved ones while you work.

Typical DCFSA Expenses:

- Care for children under age 13, such as
 - Child day care
 - Nanny services
 - Pre-school
 - Before and after-school care
 - Summer day camp
- Care for your adult disabled child or relative who is physically or mentally incapable of self-care and lives in your home, such as adult day care

Find a complete list of eligible expenses and additional details at www.FSAFEDS.com

Savings Year After Year

The HCFSAs and the LEX HCFSAs allow you to carry over up to \$500 in your account from one plan year to the next if you re-enroll during Open Season for the following year. With far less “use or lose” risk, there’s no reason not to take advantage of the tax savings every year.



How to Sign Up

Simply decide which FSAs work best for you, then decide how much to contribute. With the savings calculators available at www.FSAFEDS.com, it’s easy to estimate your contributions and add up your savings. After you decide how much you want to put in your FSAFEDS account, select [Enroll In A Plan](#) on the FSAFEDS website.

Note: The minimum contribution amount is \$100. The maximum amount you can contribute to an HCFA or LEX HCFA is \$2,600. And by law, the maximum amount that can be contributed to a DCFA is \$5,000 per household (\$2,500 if married filing separately).

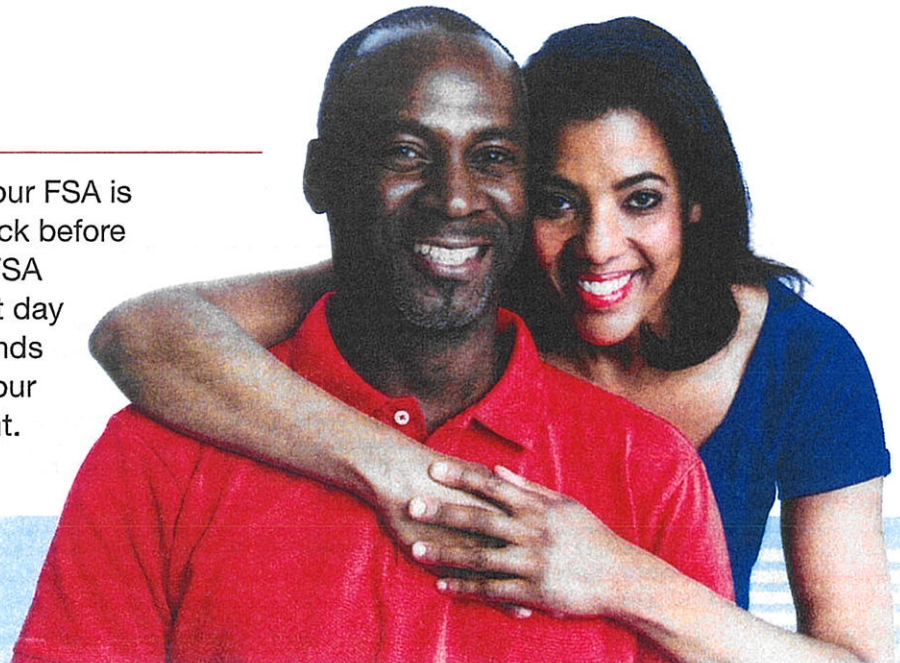
When to Enroll

The timing of your enrollment depends on your situation:

- **Active Federal employees** sign up for an FSA during Open Season (mid-November to mid-December). If you’re already enrolled, keep in mind that you have to re-enroll each year.
- **New employees** may enroll up to 60 days from their hire date, but before October 1 or wait for Open Season.
- **Employees experiencing a qualifying life event**, like marriage or the birth of a baby, have 60 days from the date of the event to enroll in the FSAFEDS Program. This must be done before October 1 or you wait for Open Season.

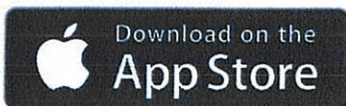
How to Contribute

After you enroll in FSAFEDS, money for your FSA is deducted automatically from your paycheck before taxes are taken out. HCFA and LEX HCFA funds are available on January 1 – the first day of the benefit period. However, DCFA funds are only available when withdrawn from your paycheck and deposited into your account.



How to Use Your Account

With several payment and reimbursement options, your FSAFEDS account is easy to use. It covers a wide variety of eligible expenses for you, your spouse, and eligible dependent throughout the benefit period. Manage your account via a secure website on your computer or mobile device that's connected to the Internet or the FSAFEDS app.




To find out important dates and claims deadlines, check out the [FAQs](#) available on the FSAFEDS website.

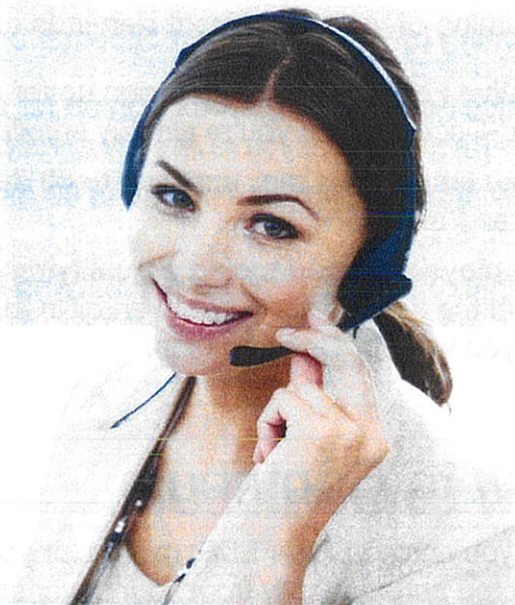
We're Here to Help

If you have questions or need additional details about the FSAFEDS Program, please visit www.FSAFEDS.com. Or if you prefer, simply give us a call. Our Benefits Counselors are available Monday through Friday, from 9 a.m. to 9 p.m. Eastern Time.

 TEL: 877-FSAFEDS (372-3337)

 TTY: 866-353-8058

 www.FSAFEDS.com



The information presented in this brochure is not all-inclusive, nor a guarantee of eligibility or payment. Eligibility will be determined by the applicable provisions of the plan, based on Internal Revenue Service regulations for FSA programs.

The term "savings" herein refers only to tax savings and actual savings are dependent on individual tax rates. No part of this document constitutes tax, financial, or legal advice. Please consult your advisor regarding your personal situation and whether this is the right program for you.



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4151-FEDS (11/2016)

LONG TERM CARE INSURANCE

The **Federal** Long Term Care Insurance Program

PROGRAM OVERVIEW



See inside for:

- ▶ Long term care and long term care insurance facts
- ▶ Program benefits
- ▶ Eligibility to apply, including:
 - ▶ qualified relatives
 - ▶ new and newly eligible employees
- ▶ And much more!



The **Federal** Long Term Care Insurance Program

AMERICAN
OVERSIGHT

DOJ-17-0211-B-000051

The realities of long term care

The need for long term care can arise from injury or illness at any age—the Federal Long Term Care Insurance Program offers protection and support when it's needed the most.

Long term care is personal care and other related services provided on an extended basis to people who need help with specific everyday activities (called activities of daily living) or who need supervision due to a severe cognitive impairment, such as Alzheimer's disease. It's common for people to think of this type of care as only for the elderly and only taking place in nursing homes. Actually, the need for long term care can strike at any time in life due to an accident, illness, or injury. And most long term care is provided at home and not in facilities.

Regardless of the setting—home, assisted living facility, or nursing home—long term care can be expensive. And making decisions about long term care can be difficult. **The Federal Long Term Care Insurance Program (FLTCIP)**, the group long term care insurance program that only members of the Federal family can apply for, can help.

You might think you're covered

Many people think that long term care is covered by traditional medical insurance plans. It's important to know that long term care expenses generally are not covered by the Federal Employees Health Benefits (FEHB) Program, TRICARE, TRICARE For Life, or disability income insurance. While Medicare covers some care in nursing homes and at home, it does so only for a limited time and is subject to restrictions.

The U.S. Department of Veterans Affairs provides limited long term care services, with restrictions on who can receive them. And Medicaid—the joint Federal-state program that pays for health care services for individuals who meet their state's poverty guidelines—cannot be accessed until virtually all of your assets have been depleted to state-required levels and may provide little choice or control over the care you receive.

The value of long term care insurance

Long term care insurance helps pay for long term care services in many settings—at home or in an adult day care facility, assisted living facility, or nursing home. Long term care insurance can help ensure your independence and reduce your reliance on loved ones should you need long term care. The coverage also offers greater control over the type of care you will receive and where you receive it.

Long term care insurance can also improve your financial security. It helps protect your income, including pensions and annuities, and your savings, such as your Thrift Savings Plan, IRAs, or other investments, from being exhausted by long term care costs. No matter your age, long term care insurance should be a key part of your financial planning activities.

Coverage under the FLTCIP

The FLTCIP provides valuable protection from the potentially high costs of long term care. Enrollees can feel secure about the program's comprehensive coverage because the FLTCIP is:

- ▶ The largest long term care insurance program in the nation
- ▶ Sponsored by the U.S. Office of Personnel Management (OPM)
- ▶ Insured by one of the nation's leading insurers, John Hancock Life & Health Insurance Company

The FLTCIP provides industry-leading benefits and offers flexible options that allow enrollees to tailor coverage to meet their needs.

This voluntary program can be an important part of your Federal benefits package. It's paid for entirely by enrollee premiums, with no government contribution. This program is medically underwritten, which means that you'll have to answer questions about your health on your application. Certain medical conditions, or combinations of conditions, will prevent some people from being approved for coverage. You need to apply to find out if you qualify for coverage under the FLTCIP.

Comprehensive features and services*

Home, assisted living, and nursing home care

The FLTCIP provides comprehensive coverage for care provided in a variety of settings, including the following:

- ▶ At home, care provided by a nurse, home health aide, therapist, or other authorized provider (including a friend or family member authorized to act as an informal caregiver) is covered.
- ▶ Within the community, services provided at adult day care centers are covered.
- ▶ In an assisted living facility, care, including specialized care for persons living with Alzheimer's disease, is covered.
- ▶ In a nursing home, skilled, intermediate, and custodial care are covered.

More on home care

Family members and friends can provide care as informal caregivers.

One of the FLTCIP's most popular benefits is coverage for care provided in the home by friends, family members, and other unlicensed caregivers who did not normally live in your home at the time you became eligible for benefits. When informal care is provided by family members, it's covered for up to 500 days.

With its inclusive home care and stay-at-home benefits, the FLTCIP helps enrollees remain at home for as long as possible.

*This is a general description of coverage and is not an insurance contract. Only the *FLTCIP Benefit Booklet* contains governing contractual provisions.

Consultative services

Pressure-free advice and support for the Federal family.

The FLTCIP provides access to experienced and knowledgeable program consultants who can help guide decision-making, compare plans, provide personalized rate quotes, and assist in completing an application for coverage.

Expert care coordination

A valuable support system—making a difference in the lives of families.

Care coordination services help individuals manage the challenging transition from living independently to receiving long term care. Care coordinators (registered nurses) provide enrollees with information and offer assistance and advice about their long term care options.

Care coordinators can assist in providing access to discounted services, help monitor the care that is being delivered, and assist with updating your plan of care as needs change. Care coordinators can also authorize an alternate plan of care, under which you can receive benefits for services that are not specifically covered under the program.

If you ever need to initiate a claim, you or your legal representative (including a physician or caregiver) should call us. An individual care coordinator is assigned for the life of your claim, so each time you call, you will speak to the same person who knows your particular situation. Additionally, all care coordinators have experience with the emotional, social, and financial issues surrounding long term care. You can contact your care coordinator to ask any questions you may have, even if you are not receiving benefits.

The value of care coordination—which is available to all FLTCIP enrollees and their qualified relatives—is illustrated by the many warm relationships that have developed between families and coordinators over the years. This helpful support system, which makes a real difference in the lives of families, is a key part of FLTCIP coverage.

Valuable standard features

The FLTCIP delivers superior value by offering the following standard features to its enrollees:

Waiver of premium: Once you have completed your waiting period, you do not pay premiums while you are receiving benefits.

Guaranteed renewable: Your coverage will not be canceled as long as you pay your premiums on time. And your coverage cannot be canceled due to your age or a change in your health. Your premium can only be changed on a group, not an individual, basis.

International benefits: The FLTCIP provides coverage if you require care in a country outside the United States. Some restrictions apply.

Portability: Even if you are no longer a member of an eligible group (for example, if you are an employee who leaves government employment), you can keep your coverage as long as you continue to pay the required premium and have not exhausted your maximum lifetime benefit.

Respite services: The FLTCIP pays benefits to provide your primary caregiver with temporary relief from his or her caregiving responsibilities.

Stay-at-home benefit: The FLTCIP offers enrollees numerous options that support care at home, including care planning visits, home modifications (such as installing wheelchair ramps), emergency medical response systems, durable medical equipment (such as wheelchairs, walkers, or hospital-style beds), caregiver training, and home safety checks.

Bed reservations: If you are in an assisted living facility, nursing home, or hospice facility and need to leave that facility for any reason (for example, you need to be hospitalized), the FLTCIP pays benefits to hold your space.

Hospice care: Hospice care provided at home or within a facility is covered under the FLTCIP.

A personalized plan that works for you

Because there is no one-size-fits-all when it comes to long term care insurance, the FLTCIP offers the opportunity to make personalized benefit selections in three key areas:

- ▶ Daily benefit amount (DBA): the maximum amount the FLTCIP will pay for a single day of long term care services.
- ▶ Benefit period: the length of time your benefits will last if you receive care every day that is reimbursed at a level equal to the DBA.
- ▶ Inflation protection: options that increase the value of benefits over time to keep pace with increasing costs of care.

Applicants have the choice of selecting a prepackaged plan or customizing a plan to meet their specific needs.

For detailed benefit information, see *Book One: Program Details and Rates* at www.LTCFEDS.com/documents or call us for an information kit and personalized rate quote.

Long term care is not just for the elderly.

Think you're too young?

Nearly 41% of long term care is provided to people under age 65.

*Georgetown University Long-Term Care Financing Project,
Long-Term Care Financing: Policy Options for the Future,
June 2007.*

Who is eligible to apply?

- ▶ Federal and U.S. Postal Service (USPS) employees in positions that convey eligibility for the Federal Employees Health Benefits (FEHB) Program (whether or not they are actually enrolled) and annuitants
- ▶ Active members of the uniformed services who are on active duty or full-time National Guard duty for more than 30 days, including:
 - ▶ active members of the Selected Reserve (members of the Individual Ready Reserve are **not** eligible to apply)
- ▶ Retired members of the uniformed services who are entitled to retired or retainer pay, including:
 - ▶ retired grey reservists, even if they are not yet receiving their retired pay
- ▶ Other eligible employees and annuitants:
 - ▶ deferred annuitants
 - ▶ separated employees with title to a deferred annuity, even if they are not yet receiving that annuity
 - ▶ Tennessee Valley Authority employees (even though they may not be eligible for FEHB coverage) and annuitants
 - ▶ D.C. Government employees and annuitants who were first employed by the D.C. Government before October 1, 1987
 - ▶ D.C. Courts employees and annuitants
 - ▶ Navy Personnel Command (BUPERS) employees and annuitants
 - ▶ Nonappropriated Fund (NAF) employees and annuitants
 - ▶ Survivors of deceased workforce members receiving an annuity (visit www.LTCFEDS.com/eligibility to determine if you are eligible as a survivor)
- ▶ Qualified relatives are also eligible to apply. See the following pages for details.

Visit www.LTCFEDS.com for the full eligibility listing.

This program is medically underwritten, which means that you'll have to answer questions about your health on your application. Certain medical conditions, or combinations of conditions, will prevent some people from being approved for coverage. You need to apply to find out if you qualify for coverage under the FLTCIP.

Have premiums deducted directly from your pay!

Most enrollees take advantage of convenient payroll or annuity/pension deductions to pay premiums for themselves and/or their qualified relatives.



Qualified relatives can also apply*

Even if you don't apply for coverage, your qualified relatives can, so tell them about the program today!

Planning ahead for the possibility of needing long term care makes sense. If you wait until you or a loved one needs long term care, options may be limited. Share this information with your qualified relatives today. If they apply and are approved for coverage, they can benefit from the protection and peace of mind the FLTCIP offers. The following relatives are eligible to apply for coverage:

- ▶ Current spouses of eligible employees
- ▶ Current spouses of eligible annuitants (but not former spouses, even if they are receiving an apportionment of annuity)
- ▶ Parents, parents-in-law, and stepparents of living eligible employees (parents, parents-in-law, and stepparents of annuitants are not eligible)
- ▶ Adult children (at least 18 years old, including adopted and stepchildren) of living eligible employees and annuitants
- ▶ Domestic partners of eligible employees and annuitants (visit www.LTCFEDS.com/eligibility to determine if you are eligible as a domestic partner); a Declaration of Domestic Partnership form must be submitted to the employee's agency or annuitant's retirement system before you apply

Visit www.LTCFEDS.com for the full eligibility listing.

This program is medically underwritten, which means that your qualified relatives who choose to apply will have to answer questions about their health on their application. Certain medical conditions, or combinations of conditions, will prevent some people from being approved for coverage. They need to apply to find out if they qualify for coverage under the FLTCIP.

*Qualified relatives must complete the full underwriting application.

The FLTCIP offers its enrollees greater control and more choices regarding their care. Tell your qualified relatives about the program today!

Why plan now?

Planning reduces financial and emotional stress on families.

Long term care can be expensive. By planning now, you can preserve more of your future savings and assets for needs other than long term care. You'll also have greater control over your care.

New and newly eligible employees

Take advantage of your 60-day abbreviated underwriting period.

If you're a new or newly eligible employee, you (and your spouse if you are married) enjoy special incentives to apply for coverage under the FLTCIP within 60 days of your hire or eligibility date:

- ▶ You can apply with abbreviated underwriting, which means that you answer fewer health questions on your application. If you're married, your spouse can also apply with abbreviated underwriting within the same 60-day period, even if you choose not to apply.
- ▶ If you're currently healthy, you avoid the risk that a future illness or condition may disqualify you from obtaining coverage at a later date.

You (and your spouse if you are married) can still apply for coverage after your 60-day abbreviated underwriting period ends, but you must complete a full underwriting application that asks more questions about your health.

Coverage that meets your changing needs

Coverage includes inflation protection: options that help ensure that your coverage keeps pace with the rising costs of long term care services.

Coverage follows you; the FLTCIP is portable. When you leave Federal service or retire, you can take your coverage with you as long as you pay your premiums.

This program is medically underwritten, which means that you'll have to answer questions about your health on your application. Certain medical conditions, or combinations of conditions, will prevent some people from being approved for coverage. You need to apply to find out if you qualify for coverage under the FLTCIP.

To see a full listing of who is eligible for this 60-day abbreviated underwriting period, or to apply online, visit www.LTCFEDS.com/apply.

Start planning today

When it comes to planning for your future, there are important reasons to address potential long term care needs sooner rather than later:

- ▶ The coverage you buy for the future can also help protect you today. If an accident or illness occurs when you are relatively young, and you require long term care, your FLTCIP coverage will be there to help pay for the costs of care.
- ▶ You'll benefit now from the peace of mind that comes with knowing you have long term care insurance coverage.

Getting ready to retire?

Retirement planning is essential in today's world—people are living longer and need a plan that can sustain them throughout the course of retirement.

By including the FLTCIP in your retirement planning, you're protecting what you've worked for. Take steps to save your nest egg for what you'd really like to use it for.

Use these helpful tools to weigh your options

At www.LTCFEDS.com, you'll find a variety of helpful information and valuable resources:

- ▶ Easy-to-use planning tools:
 - ▶ the **Self-Funding Tool** helps you calculate how much money you would have to set aside each month to fund potential long term care costs.
 - ▶ the **Cost of Care Tool** allows you to calculate the average cost of care for home care, assisted living facilities, and nursing homes in your area.
 - ▶ the **Premium Calculator** allows you to calculate current premiums for many different plan options.*
- ▶ Information and forms
- ▶ Frequently asked questions
- ▶ Full and abbreviated online applications

Speak to a program consultant

Learn more about the benefits and coverage available with the FLTCIP, get premium quotes, and receive help completing an application for coverage. Take the time to call and discuss *your* options.

*Premiums are not guaranteed. Your premium will not change because you get older or your health changes or for any other reason related solely to you. However, your premiums may increase if you are among a group of enrollees whose premium is determined to be inadequate. While the group policy is in effect, OPM must approve the change.

Apply for coverage today!

At www.LTCFEDS.com, you can:

- ▶ Download an information kit and application
- ▶ Apply online

Or call ...

1-800-LTC-FEDS (1-800-582-3337)

TTY 1-800-843-3557

The Federal Long Term Care Insurance Program is
sponsored by the U.S. Office of Personnel Management,
offered by John Hancock Life & Health Insurance Company,
and administered by Long Term Care Partners, LLC.

John Hancock



It's Your Day
to live better.

FEDERAL GROUP LIFE INSURANCE (FEGLI)

LIFE INSURANCE

FGLI can help you **protect your loved ones** from burdensome funeral costs and catastrophic loss of your income if you die unexpectedly.

BASIC

Amount of Coverage: Your annual salary rounded up to the next even \$1,000, plus \$2,000
Who is Covered?: You
Cost each biweekly pay period: 15¢ per \$1,000 of coverage (Free for postal employees)
Cost increases with age?: No
Newly eligible employees automatically enrolled?: Yes, unless you waive coverage

OPTION A

Amount of Coverage: \$10,000
Who is Covered?: You
Cost each biweekly pay period: Starting at 20¢
Cost increases with age?: Yes
Newly eligible employees automatically enrolled?: No, you must elect this coverage

OPTION B

Amount of Coverage: 1, 2, 3, 4, or 5 multiples of your salary rounded up to the next even \$1,000
Who is Covered?: You
Cost each biweekly pay period: Starting at 2¢ per \$1,000 of coverage
Cost increases with age?: Yes
Newly eligible employees automatically enrolled?: No, you must elect this coverage

OPTION C

Amount of Coverage: 1, 2, 3, 4, or 5 multiples. Each multiple equals \$5,000 for the life of your spouse and \$2,500 for the life of each eligible child
Who is Covered?: Your spouse and unmarried dependent children under age 22
Cost each biweekly pay period: Starting at 22¢ per multiple
Cost increases with age?: Yes
Newly eligible employees automatically enrolled?: No, you must elect this coverage

I want to...	When can I do this?	How can I do this?
Enroll or increase coverage	<ul style="list-style-type: none"> First 60 days as a new or newly eligible employee; or Within 60 days after a life event (marriage, divorce, death of spouse, acquire an eligible child); or Life insurance Open Season (not annual - infrequent); or When you pass a physical exam (Option C excluded) 	<ul style="list-style-type: none"> Use your agency's electronic enrollment system; or Go to opm.gov/forms/standard-forms Submit form SF 2817 to your human resources office Bring a blank form SF 2822 to your human resources office (physical exam applications only)
Cancel or reduce coverage	Anytime	Use your agency's electronic enrollment system or submit form SF 2817 to your HR office
Designate a (new) beneficiary	Anytime	Submit form SF 2823 to your HR office

MORE INFO: www.opm.gov/life

For complete information, including terms and conditions, please visit www.opm.gov/life.

1 General Instructions

By law, unless you waive all coverage or are ineligible, you are automatically covered for Basic life insurance as an employee. When you first become eligible for FEGLI, you may (1) do nothing and have Basic automatically, (2) elect Basic and any or all of the options, or (3) waive all life insurance coverage. If you are changing a previous election, see the back of Part 3 - Employee Copy.

- Read the back of Part 3 - Employee Copy carefully.
- Assignees completing this form should read Items 5 and 6 on the back of Part 3.
- Give all parts of your completed form to your employing office. Your employing office will complete Section 6 of this form (or its electronic equivalent) and return your copy to you.

This election supersedes all previous elections.

2 Fill in identifying information concerning the employee.

Name (last, first, middle)		Date of birth (mm/dd/yyyy)	Social Security Number
Employing department or agency	OWCP claim number, if applicable	Location of department or agency where you work (city, state, ZIP code)	Daytime telephone number (including area code)

3 To elect or retain Basic, sign and date below. If you do not sign for Basic, you (or your assignee) may not elect or retain any form of optional insurance. If you do not want any insurance at all, skip to Section 5.

Basic	I want Basic. I authorize deductions to pay my share of the cost. (Basic may be provided without cost to U.S. Postal Service employees.)	
	SIGNATURE (Do not print. Only you or your assignee may sign. Signatures by guardians, conservators or through a power of attorney are not valid.)	Date (mm/dd/yyyy)

4 Optional

If you signed for Basic in item 3 above, you may elect or retain any or all of the following options (UNLESS you have previously waived any or all of these options, in which case you may elect only those options which you are eligible to elect as outlined in the FEGLI Program Booklet). Sign the box(es) below for any option(s) you are eligible for and wish to elect or retain. If you do not sign for an option, you have waived it and your future opportunities to enroll in it are strictly limited.

You will not be covered for any option(s) for which you do not sign below, regardless of whether you previously elected the option(s).

Option A - Standard	Option B - Additional	Option C - Family
I want Option A. I authorize deductions to pay the full cost.	I want Option B in the multiple of my annual basic pay I indicate below. I authorize deductions to pay the full cost.	I want Option C in the multiple I indicate below. I understand that each multiple is worth \$5,000 upon the death of my spouse, and \$2,500 upon the death of an eligible child. I authorize deductions to pay the full cost.
<input type="checkbox"/> 1 times my pay	<input type="checkbox"/> 3 times my pay	<input type="checkbox"/> 3 multiples
<input type="checkbox"/> 2 times my pay	<input type="checkbox"/> 4 times my pay	<input type="checkbox"/> 4 multiples
	<input type="checkbox"/> 5 times my pay	<input type="checkbox"/> 5 multiples
SIGNATURE (Do not print. Only you or your assignee may sign. Signatures by guardians, conservators or through a power of attorney are not valid.)	SIGNATURE (Do not print. Only you or your assignee may sign. Signatures by guardians, conservators or through a power of attorney are not valid.)	SIGNATURE (Do not print. Only you or your assignee may sign. Signatures by guardians, conservators or through a power of attorney are not valid.)
Date (mm/dd/yyyy)	Date (mm/dd/yyyy)	Date (mm/dd/yyyy)

5 If you want NO life insurance coverage, sign and date below.

Waiver of all life insurance coverage	I want NO life insurance coverage. I understand that any life insurance I have will stop at the end of the last day of the pay period in which my employing office receives this waiver. Further, I cannot get Basic life insurance unless (1) I wait at least 1 year after I sign this form and submit satisfactory medical information, or (2) I experience a life event, or (3) I have a break in Federal service of at least 180 days, or (4) I participate in an open season, which is held infrequently. I understand that I cannot get any optional insurance unless I first have Basic. I understand that my decision to waive life insurance coverage now may affect my eligibility for coverage as a retiree.	
	SIGNATURE (Do not print. Only you or your assignee may sign. Signatures by guardians, conservators or through a power of attorney are not valid.)	Date (mm/dd/yyyy)

6 Agency Remarks:

Name and address of employing office U. S. Department of Justice Suite 9w.300 145 N Street NE Washington, DC 20530	Date received in employing office (mm/dd/yyyy)	Effective date of coverage (mm/dd/yyyy)	If new/newly eligible employee, enter "0" for event. Number of event permitting change (See back of Part 2)
I followed the instructions on the back of Part 1.			
Signature of authorized agency official			

The employee's copy of this form, when completed by the employing office, together with the FEGLI Program Booklet (FE 76-21 or FE 76-20 for U.S. Postal Service employees) constitute the employee's Certificate (proof) of Insurance.

PART 1 - File in Official Personnel Folder

FEDERAL EMPLOYEES RETIREMENT SYSTEM (FERS)



FERS

Federal Employees Retirement System

(An Overview of Your Benefits)



**United States
Office of
Personnel
Management**

**Retirement and
Insurance
Service**

Previous edition is usable.

RI 90-1
Revised April 1993

This booklet contains highlights of the Federal Employees Retirement System (FERS). It is **not** meant to provide a detailed explanation of all the plan provisions. The information is based on the law in effect at the time the booklet went to publication.

Under the Balanced Budget Act of 1997, Public Law 105-33 for fiscal year 1998, employee retirement contributions will increase as follows. Deductions for the Civil Service Retirement System and the Federal Employees Retirement System would be increased by 0.25% in January 1999, by an additional 0.15% in January 2000, and by 0.1% more in January 2001, for a total increase of 0.5%. These higher contribution rates would be in effect through 2002.

Additional retirement information and all publications of the U.S. Office of Personnel Management listed in this pamphlet are available on the Internet.

OPM Website — <http://www.opm.gov/asd>

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Introduction

Retirement. . . a time for reflection, rest, and enjoyment . . . a rewarding time. But, a rewarding retirement doesn't just happen. It takes careful planning. Knowing when you can retire and where you will stand financially are important parts of that planning process. The financial security you will have in the future depends, in part, on the plans you make today.

Recognizing the importance of your future, the Federal Government offers a retirement program that helps provide financial security for you and your family. You are a participant in the **Federal Employees Retirement System (FERS)**. This is one of the most important benefits you receive as a Federal employee.

FERS is a retirement system that is responsive to the changing times and Federal work force needs. Many of its features are "portable," so that if you leave Federal employment, you may still qualify for the benefits. FERS is flexible; you will be able to choose what is best for your individual situation. And FERS enables you to take an active role in securing your future.

This booklet highlights the main features of the Federal Employees Retirement System (FERS).

Overview

The Federal Employees Retirement System, or FERS, became effective January 1, 1987. Almost all new employees hired after December 31, 1983, are automatically covered by FERS. Certain other Federal employees not covered by FERS have the option to transfer into the plan.

The Components

FERS is a three-tiered retirement plan. The three components are:

- ✓ Social Security Benefits
- ✓ Basic Benefit Plan
- ✓ Thrift Savings Plan

You pay full Social Security taxes and a small contribution to the Basic Benefit Plan. In addition, your agency puts an amount equal to 1% of your basic pay each pay period into your Thrift Savings Plan (TSP) account. You are able to make tax-deferred contributions to the TSP and a portion is matched by the Government.

The three components of FERS work together to give you a strong financial foundation for your retirement years.

Social Security Benefits

The first part of your benefit is Social Security.

What is Social Security?

The term "Social Security" means benefit payments provided to workers and their dependents who qualify as beneficiaries under the Old-Age Survivors, and Disability Insurance (OASDI) programs of the Social Security Act. OASDI replaces a portion of earnings lost as a result of retirement, disability, or death. It is designed to provide benefits that replace a greater percentage of earnings for lower-paid workers than for higher-paid workers. This means that Social Security benefits are more important for lower-paid workers than higher-paid workers.

As an employee with FERS coverage, you have Social Security coverage. You also are covered under Social Security's Medicare Hospital Insurance program. This pays a portion of hospital expenses incurred while you are receiving Social Security disability benefits or retirement benefits at age 65 or older.

Social Security Benefits

Social Security programs provide:

- ✓ Monthly benefits if you are retired and have reached at least age 62, and monthly benefits during your retirement for your spouse and dependents if they are eligible;
- ✓ Monthly benefits if you become totally disabled for gainful employment and benefits for your spouse and dependents if they are eligible during your disability;
- ✓ Monthly benefits for your eligible survivors; and
- ✓ A lump sum benefit upon your death.

To become eligible for benefits, you and your family must meet different sets of requirements for each type of benefit. An underlying condition of payment of most benefits is that you have paid Social Security taxes for the required period of time.

The amount of monthly benefits you receive is based on three fundamental factors:

- ✓ Average earnings upon which you have paid Social Security taxes, which are adjusted over the years for changes in average earnings of the American work force;
- ✓ Family composition (for example, whether you have a spouse or dependent child who may be eligible for benefits); and
- ✓ Consumer Price Index (CPI) changes that occur after you become entitled to benefits.

Benefits are subject to individual and family maximums.

Once benefits begin, their continuation may depend upon your meeting a variety of conditions. For example, if you have earnings that exceed specified amounts while you are under age 70, your Social Security benefits will be reduced or stopped. There are special Social Security rules that may affect the benefits of Federal employees, including the Federal Employees Retirement System (FERS) participants. If you previously had some service that was covered by the Civil Service Retirement System (CSRS) (or another similar retirement system for Federal employees), your Social Security benefits may be affected by the Windfall Elimination Provision. If you transferred to FERS and do not complete 5 years of service under FERS, any spousal benefit you are entitled to under Social Security may be reduced because of the Government Pension Offset. If you think either of these provisions may affect your

benefits, ask your servicing personnel office or local Social Security office for copies of the factsheet, *A Pension From Work Not Covered by Social Security* (Publication No. 05-10045) and the factsheet, *Government Pension Offset* (Publication No. 05-10007). You may also request these publications by calling the Social Security Administration on (800) 772-1213 or by downloading from the Web at:

<http://www.ssa.gov/pubs>

Social Security Taxes

Most of the cost of Social Security is paid for through payroll taxes. Each year you pay a percentage of your salary up to a specified earnings amount called the maximum taxable wage base. The Federal Government, as your employer, pays an equal amount. The percentage you each pay for old age, survivor, and disability insurance coverage is 6.20% of your earnings up to the maximum taxable wage base.

The maximum taxable wage base is \$68,400 in 1998. It increases automatically each year based on the yearly rise in average earnings of the American work force.

The Social Security tax covers both the Old Age, Survivors, and Disability Insurance (OASDI) and Medicare Hospital Insurance programs. The Medicare portion you and your agency each pay is 1.45% of your total pay. All wages are subject to the deduction for Medicare.

Basic Benefit Plan

The second part of the Federal Employees Retirement System (FERS) is the Basic Benefit plan.

Eligibility Participation

If you were automatically covered by FERS, or you elected to transfer from the Civil Service Retirement System (CSRS) to FERS, you will participate in the Basic Benefit plan.

Vesting

To be vested (eligible to receive your retirement benefits from the Basic Benefit plan if you leave Federal service before retiring), you must have at least 5 years of creditable **civilian** service. Survivor and disability benefits are available after 18 months of civilian service.

Creditable Service

Creditable service generally includes:

- ✓ Federal civilian service for which contributions have been made or deposited.
- ✓ Military service, subject to a deposit requirement. To receive credit for military service, generally, you must deposit 3% of your military base pay. Interest begins 2 years

after you are hired. With certain exceptions, you cannot receive credit for military service if you are receiving military retired pay. Also, see the note that follows on credit for National Guard service.

- ✓ Leaves of absence for performing military service or while receiving workers' compensation.

Unused sick leave is not converted into creditable service for any purpose. (There is a limited exception for CSRS employees who transfer to FERS.)

Credit is not allowed for civilian service after 1988 when no contributions were withheld.

Note: Service in the National Guard, except when ordered to active duty in the service of the United States, is generally not creditable. However, you may receive credit for National Guard service, followed by Federal civilian reemployment that occurs after August 1, 1990, when **all** of the following conditions are met:

- ✓ The service must interrupt civilian service creditable under the Civil Service Retirement System (or FERS) and be followed by reemployment in accordance with the appropriate chapter of the laws concerning Veterans Benefits; and

- ✓ It must be full-time (and not inactive duty), and performed by a member of the U.S. Army National Guard, or U.S. Air National Guard; and
- ✓ It must be under a specified law and you must be entitled to pay from the U.S. (or have waived pay from the U.S.) for the service.

The deposit for National Guard service that meets these criteria is limited to the amount that would have been deducted from your pay for retirement if you had remained in the civilian service.

Contributions

Your contribution to the Basic Benefit Plan is the difference between 7% of your basic pay and Social Security's old age, survivor, and disability insurance tax rate, or 0.80%.

Refunds

You may withdraw your basic benefit contributions if you leave Federal employment. However, if you do, you will not be eligible to receive benefits based on service covered by the refund. There is no provision in the law for the redeposit of FERS contributions that have been refunded.

Retirement Options

There are three categories of retirement benefits in the Basic Benefit Plan:

- ✓ Immediate, and Postponed
- ✓ Early
- ✓ Deferred

Eligibility is determined by your age and number of years of creditable service.

In some cases, you must have reached the **Minimum Retirement Age (MRA)** to receive retirement benefits. The following chart shows the MRA.

Minimum Retirement Age	
<i>If you were born:</i>	<i>Your MRA is:</i>
Before 1948	55
In 1948	55 and 2 months
In 1949	55 and 4 months
In 1950	55 and 6 months
In 1951	55 and 8 months
In 1952	55 and 10 months
In 1953 through 1964	56
In 1965	56 and 2 months
In 1966	56 and 4 months
In 1967	56 and 6 months
In 1968	56 and 8 months
In 1969	56 and 10 months
In 1970 and after	57

Immediate or Postponed

If you meet one of the following sets of age and service requirements, you are entitled to an immediate retirement benefit:

<i>Age</i>	<i>Years of service</i>
62	5
60	20
MRA	30
MRA	10*

* (Reduced benefit unless postponed to lessen or eliminate age reduction)

Early

The early retirement benefit is available in certain involuntary separation cases and in cases of voluntary separations during a major reorganization or reduction in force. To be eligible, you must meet the following requirements:

<i>Age</i>	<i>Years of service</i>
50	20
Any age	25

* Reduced benefits means if you retire at the minimum retirement age with at least 10 but less than 30 years of service, your benefit will be reduced at the rate of 5/12's of 1% for each month (5% for each year) you are under age 62, unless you have 20 years of service and your annuity begins at age 60 or later. You can avoid part or all of the reduction by postponing the commencing date of your annuity.

Deferred

If you leave Federal service before you meet the age and service requirements for an immediate retirement benefit, you may be eligible for deferred retirement benefits. To be eligible, you must have completed at least 5 years of creditable civilian service. You may receive benefits when you meet one of the following sets of age and service requirements:

<i>Age</i>	<i>Years of service</i>
62	5
60	20
MRA	30
MRA	10*

* (Reduced benefit unless receipt delayed to lessen or avoid age reduction)

Benefit Formula

How your benefit is calculated:

Your benefit is based on your "high-3 average pay." This is figured by averaging your highest basic pay over any 3 consecutive years of creditable service.

Generally, your benefit is calculated according to this formula:

1% of your high-3 average pay
times
years of creditable service

If you retire at age 62 or later with at least 20 years of service, a factor of 1.1% is used rather than 1%.

To determine your length of service for computation, add all of your periods of creditable service, then eliminate from the total any fractional part of a month (less than 30 days).

Depending on the category of retirement benefits you receive, your benefit may be reduced as described in the Retirement Options section. For example, the total could be reduced if you elect to retire at the minimum retirement age before completing 30 years of service.

Special Retirement Supplement

If you meet certain requirements, you will receive a Special Retirement Supplement which is paid as an annuity

until you reach age 62. This supplement approximates the Social Security benefit earned while you were employed by the Federal government. You may be eligible for a Special Retirement Supplement if you retire:

- ✓ After the Minimum Retirement Age (MRA) with 30 years of service;
- ✓ At age 60 with 20 years of service; or
- ✓ Upon involuntary or early voluntary retirement (age 50 with 20 years of service, or at any age with 25 years of service) after the U.S. Office of Personnel Management determines that your agency is undergoing a major reorganization, reduction-in-force (RIF) or transfer of function. You will not receive the Special Retirement Supplement until you reach your MRA.

If you transfer to the Federal Employees Retirement System (FERS) from the Civil Service Retirement System (CSRS), you must have at least one full calendar year of FERS-covered service to qualify for the supplement.

If you have earnings from wages or self-employment that exceed the Social Security annual exempt amount (\$9,120 in 1998), your Special Retirement Supplement will be reduced or stopped.

Survivor Benefits

The Basic Benefit Plan provides benefits for survivors of Federal employees and retirees.

Spouse

If you die while you are an employee...

If you are married, have 18 months of civilian service, and die while you are an active employee, your surviving spouse receives:

A lump sum payment

plus

the higher of

1/2 of your annual pay rate at death

or

1/2 of your high-three average pay.

The lump sum payment, which increases by cost-of-living adjustments each year, is \$21,783.34 in 1998.

If you had 10 years of service, your spouse also receives an annuity equaling 50% of your accrued basic retirement benefit. These benefits are paid in addition to any Social Security, group life insurance, or savings plan survivor benefits.

To be eligible for benefits, you and your spouse must have been married for at least 9 months, or there must be a child born of the marriage, or your death must be accidental.

If you die while you are a retiree...

A married retiree's annuity is automatically reduced to provide spouse survivor benefits unless those benefits are jointly waived in writing by the retiree and the spouse before retirement.

Your annuity is reduced 10% to give your surviving spouse:

An annuity of 50% of your
unreduced benefit

plus

a special supplemental annuity payable until age 60, if your spouse will not be eligible for Social Security survivor benefits until age 60.

You and your spouse may choose instead to have your annuity reduced by 5% to give your spouse an annuity of 25% of your unreduced benefit at your death.

Separate provisions apply to spouses of disabled annuitants.

Former Spouses

A former spouse may receive survivor benefits as provided in a retiree election or a qualifying court order.

Children

If you have 18 months of civilian service and die while you are an active employee, or if you have retired, your children may be eligible to receive an annuity. This benefit is payable to each unmarried child:

- ✓ up to age 18;
- ✓ up to age 22 if a full time student;
- ✓ at any age if the child became disabled before age 18.

The amount of the the Federal Employees Retirement System (FERS) benefit depends on the number of children and if the children are orphaned. In 1998 the FERS surviving child benefit is \$344 per month per child for each of three children; \$413 if orphaned. The total children's benefit is reduced dollar for dollar by any Social Security children's benefits that may be payable.

Disability Benefits

FERS disability benefits can help you replace part of your income if you are unable to work for a prolonged period.

What Does Disability Mean?

You are considered disabled under FERS if you are unable to perform useful and efficient service in your position because of disease or injury. However, you will not be considered disabled if you decline your agency's offer of a position which accommodates your disability and is at the same grade or pay level and is within your commuting area.

You may also qualify for Social Security disability benefits if you are unable to work in any substantial gainful activity.

Eligibility

To qualify for FERS disability benefits, your disabling condition must be expected to last at least 1 year, and you must have at least 18 months of creditable civilian service.

The Benefits

The first year:

60% of your high-3 average pay

minus

100% of any Social Security disability

benefits to which you are entitled.

After the first year and until age 62, if your disability prevents you from performing your job and you do not qualify for Social Security disability benefits, your benefit will be:

40% of your high-3 average pay.

If you do qualify for Social Security benefits, your FERS disability benefit will be reduced by 60% of the Social Security benefit to which you are entitled. The resulting total you receive from both FERS and Social Security will be at least 40% of your high-3 plus 40% of your Social Security disability benefits.

If your earned annuity rate (1% x high 3 average salary x years of service) is higher than the above rates after the reduction for Social Security, you will receive the higher benefit.

When you reach age 62 your disability benefit will be recomputed. Essentially, you will receive the annuity you would have received if you had not been disabled, but had continued working until age 62. For purposes of this recomputation, your average salary will be increased by all FERS cost-of-living adjustments that took effect while you were receiving a disability annuity.

If you are a disability retiree under age 60 and your total income from work in a calendar year exceeds 80% of the current pay level of your former job, the disability benefits will be discontinued. You also may be required to provide proof periodically that you have not recovered from your disability.

Cost-of-Living Adjustments (COLA's)

Survivors and disability retirees receive a COLA regardless of their ages; however, disability retirees receiving 60% of their average pay do not receive a COLA during the first year. All other retirees begin to receive COLA's at age 62.

The amount of the annual COLA percentage is based on the increase in the Consumer Price Index (CPI):	
<i>Increase in CPI</i>	<i>Annual COLA Percentage</i>
Up To 2%	Same as CPI increase
2% to 3%	2%
3% or more	CPI increase minus 1%

The Special Retirement Supplement for retirees is not increased by COLA's; the supplement for survivors is increased by COLA's.

Form of Payment

FERS Basic Benefits are a monthly annuity that is paid the first business day of the month after it accrues. For example, the payment for December is made on January 2.

Thrift Savings Plan

The third part of your Federal Employees Retirement System (FERS) benefit is the Thrift Savings Plan (TSP). The TSP is a tax-deferred retirement savings and investment plan that offers you the same type of savings and tax benefits that many private corporations offer their employees under 401(k) plans. By participating in the TSP, you have the opportunity to save part of your income for retirement, receive matching agency contributions, and reduce your current taxes.

Your thrift account is the part of your retirement that you control — you decide how much of your pay to put in your thrift account, how to invest it, and, when you retire, you decide how you want your money paid out.

The best way to assure that your retirement income meets your needs is to start investing in the Thrift Savings Plan at the beginning of your Federal service, and to continue to do so throughout your career. This is your way to invest in your own future — to invest in yourself. It is particularly important for higher-paid employees to save enough through the TSP since Social Security replaces less income of higher-paid workers than it does for lower-paid workers.

Additional information about the benefits and features of the TSP has been issued by the Federal Retirement Thrift Investment Board and is available from your agency employing office or the TSP Web site (www.tsp.gov). In addition to the "Summary of the Thrift Savings Plan for Federal Employees" (stock number TSPB08), separate booklets on the loan program, withdrawal options, and annuities are available.

Eligibility

All Federal employees covered by FERS are eligible to participate in the Thrift Savings Plan (TSP). However, if you are a newly hired FERS employee, you must wait a certain period of time — generally, 6 to 12 months — before you can begin to participate in the TSP. If you are a rehired FERS employee, when you can begin to participate in the TSP depends upon your previous TSP eligibility.

See the "Summary of the Thrift Savings Plan for Federal Employees" for the specific rules on TSP eligibility, or ask your personnel office when you will become eligible to participate in the plan.

Contributions

Once you become eligible to participate in the Thrift Savings Plan, there are three types of contributions that may be made to your account:

- ✓ Agency Automatic (1%) Contributions
- ✓ Employee Contributions
- ✓ Agency Matching Contributions

Agency Automatic (1%) Contributions

Your agency will set up a Thrift account for you and will automatically contribute an amount equal to 1% of your basic pay each pay period. These Agency Automatic (1%) Contributions are not taken out of your salary, and your agency makes these contributions whether or not you contribute your own money.

Employee Contributions

You may make your own contributions by payroll deductions. The money you contribute is taken out of your pay before Federal and, in almost all cases, State income taxes are calculated. You may contribute up to 10% of the basic pay you earn each pay period up to the Internal Revenue Service (IRS) limit, which is \$10,000 in 1998. (This limit may be adjusted each calendar year according to the Internal Revenue Code.)

Agency Matching Contributions

<i>Your Agency</i>	<i>Contribution Match</i>
First 3% of Basic Pay	\$1.00 for each \$1.00 you contribute
Next 2% of Basic Pay	\$0.50 for each \$1.00 you contribute
Next 5% of Basic Pay	0

The agency contributions are not taken out of your salary; they are an extra benefit to you. While your agency will only provide matching contributions on your contributions up to 5% of your basic pay each pay period, you still benefit from before-tax savings and tax-deferred earnings on amounts you contribute in excess of 5% of your basic pay each pay period.

The examples at the end of this booklet illustrate the importance of Thrift Plan participation in your total benefits package. The examples also show the effect on a FERS retirement package of contributing 3% of pay and 5% of pay.

Vesting Requirement

When you separate from Federal service, you must meet the Thrift Plan vesting requirement to be entitled to, or vested in, your Agency Automatic (1%)

Contributions and attributable earnings. For most employees, this vesting requirement is 3 years of Federal, generally civilian, service.

Congressional employees and certain other non-career employees must complete 2 years of Federal, generally civilian, service. Employees who die in service are automatically vested in their Agency Automatic (1%) Contributions.

You are immediately vested in your own contributions and your Agency Matching Contributions and in the earnings attributable these contributions.

Investment Options

There are three Thrift Savings Plan Investment Funds. The Funds differ in the rate of return and amount of risk involved. You may invest any percentage of future contributions to your account in any of the three Investment Funds. You can also transfer any portion of your existing account balance among the three Funds.

The three Funds are described briefly below. For more detailed information about these Funds, see the "Summary of the Thrift Savings Plan for Federal Employees" or the "Guide to TSP Investments."

Government Securities Investment (G) Fund

The G Fund consists of investments in short-term non-marketable U.S. Treasury securities specially issued to the Thrift Savings Plan. All investments in

the G Fund earn interest at a rate that, by law, is equal to the average of market rates of return on U.S. Treasury marketable securities outstanding with 4 or more years to maturity. There is no credit risk for G Fund securities because they are guaranteed by the U.S. Government.

Common Stock Index Investment (C) Fund

The C Fund is invested in a Standard & Poor's 500 (S&P 500) stock index fund, that is made up of the common stocks of all of the companies represented in the S&P 500 index. The C Fund gives participants the opportunity to diversify their investments by investing broadly in the U.S. stock markets and to earn the relatively high investment returns stocks sometimes provide. The risk of investing in the C Fund is that the value of stocks can decline sharply, resulting in losses.

Fixed Income Index Investment (F) Fund

The F Fund is invested in a bond index fund that tracks the performance of the Lehman Brothers Aggregate (LBA) bond index. The bond index consists primarily of high quality fixed-income securities representing the U.S. Government, corporate, and mortgage-backed securities sectors of the U.S. bond market. The F Fund offers the opportunity for increased rates of return in periods of generally declining interest rates. The F Fund carries credit risk and market risk and, thus, has potential for negative returns that can result in losses.

Contributing to TSP

To begin contributing to the Thrift Savings Plan, you must complete an Election Form (TSP- 1) and submit it to your agency employing office during a TSP open season. There are two open seasons each year — May 15 to July 31 and November 15 to January 31.

Tax Advantages

There are two major tax advantages to the Thrift Savings Plan (TSP). First, you pay current Federal income taxes on your salary **after** your TSP contributions have been deducted. Second, you do not pay current Federal income taxes on the earnings you receive on your TSP account balance. Most states allow the same pre-tax and tax deferred savings on their income taxes. These tax advantages continue until you withdraw your account balance — usually at retirement when your tax bracket may be lower. If you leave Federal service before you are eligible to retire, you may transfer your account balance to an Individual Retirement Arrangement Account or other eligible retirement plan and continue to defer taxes.

Loan Program

If you have at least \$1,000 of your own contributions (including attributable earnings) in your account you may borrow from it.

There are two types of loans: general purpose, which does not require you to document or specify the purpose of your loan, and residential, which is only for the purchase of a primary residence and requires documentation.

You pay interest on the loan at the G Fund rate in effect at the time your application is received. Both the principal and the interest you pay go back into your own TSP account. See the booklet "Thrift Savings Plan Loan Program" for more information about the TSP loan program.

Withdrawing Your Funds

The Thrift Savings Plan is a long-term plan for retirement savings with special tax advantages. Generally you cannot withdraw your TSP account until you separate from Federal service.

Withdrawal Options

After you separate from Federal service, there are three basic ways to withdraw your account:

- ✓ Have the TSP purchase a life annuity for you.
- ✓ Receive your account in a single payment.
- ✓ Receive your account in a series of monthly payments.

You can have the TSP transfer all or a part of a single payment or, in some cases, a series of monthly payments, to an Individual Retirement Arrangement or other eligible retirement plan.

Leaving your money in the TSP

If you do not want to withdraw your account when you leave Federal service, you can leave your entire account balance in the Thrift Savings Plan. However, you must withdraw your TSP account or begin receiving monthly or annuity payments by April 1 of the year following the year you reach 70 1/2.

Automatic Cashout

After you separate from Federal service, if your vested account balance is \$3,500 or less, your entire account will be paid to you automatically in a single payment unless you elect another withdrawal option or to leave your money in the Thrift Savings Plan. The TSP will notify you before automatically cashing out your account and allow you the opportunity to elect as specified above.

Additional information

See the booklet, "Summary of the Thrift Savings Plan for Federal Employees," or the booklet, "*Withdrawing Your TSP Account After Leaving Federal Service*" (stock number TSPBK02), both issued by the Federal Retirement Thrift Investment Board, for more information about withdrawal options.

Special Groups of Employees

Firefighters, Law Enforcement Officers, and Air Traffic Controllers

These groups of employees receive an unreduced benefit at age 50 with 20 years of service, or at any age with 25 years of service. If you are in one of these employee groups, you contribute an additional .5% of pay to the Federal Employees Retirement System (FERS).

Your annual annuity is:

1.7% of your high-3 average pay
times
20 years of service
plus
1.0% of your high-3 average pay
times
years of service exceeding 20.

You also receive a Special Retirement Supplement until age 62 that approximates the Social Security benefit earned in Federal service. After you reach the Minimum Retirement Age (MRA), if you have earnings from wages or self-employment that exceed the Social Security annual exempt amount, your supplement will be reduced or stopped. In addition, you are entitled to an annual Cost-of-Living Adjustment (COLA), regardless of your age.

Military Reserve Technicians

If you are a military reserve technician who loses the military status required to maintain your position, you may retire and receive an unreduced annuity if you are at least age 50 with 25 years of service.

In addition, a Special Retirement Supplement is payable until age 62. After you reach your Minimum Retirement Age (MRA), if you have earnings from wages or self-employment that exceed the Social Security annual exempt amount your supplement will be reduced or stopped.

Part-Time Employees

In calculating the annuity for employees with part-time service, the average high-3 consecutive years of pay will be based on the full-time pay rate. The benefit based on the full-time rate is reduced according to the part-time schedule.

Members of Congress and Congressional Employees

Members of Congress receive an unreduced annuity at age 50 with 20 years of service, or at any age with 25 years of service. Congressional employees must meet the age and service requirements explained in the Basic Benefit Plan section.

If you are a Member of Congress or a Congressional employee, with at least 5 years of Congressional service, your annuity will be:

1.7% of high-3 average pay
times
years of Congressional service
up to 20
plus
1.0% of high-3 average pay
times
any other service.

A Special Retirement Supplement is payable from the Minimum Retirement Age to age 62. If you have earnings from wages or self-employment that exceed the Social Security annual exempt amount, your supplement will be reduced or stopped.

Cost-of-Living-Adjustment's (COLA's) are payable to Congressional retirees before age 62 only if they retire for disability.

Members of Congress and Congressional employees contribute an additional .5% of pay to the Federal Employees Retirement System (FERS).

Enrolling in FERS

New Employees

Most new employees hired after December 31 1983, are automatically covered by the Federal Employees Retirement System (FERS). The exceptions are employees in appointments that are limited to 1 year or less, most intermittent employees, anyone who is not eligible for Social Security coverage, or certain persons with non-Federal service which is creditable under the Civil Service Retirement System (CSRS).

- ✓ If you have less than 5 years under CSRS, you are automatically covered by FERS.
- ✓ If you have 5 or more years under CSRS, you are covered by CSRS Offset. Your CSRS contributions are reduced by 100% of your Social Security Old-Age, Survivor Disability Insurance (OASDI) fund taxes. Your CSRS benefit will be offset by any Social Security benefit attributable to your Federal service.

Rehires and Conversions

The general rules on whether you are covered by CSRS, CSRS Offset, or FERS after a break in service or conversion from one type of appointment to another are stated below. Just how those rules apply to you must be determined by your personnel office.

If you leave Federal Government service and return within 1 year and you were previously covered under CSRS (without Social Security), then you will generally be covered by CSRS upon reemployment. However, you may elect within 6 months of reemployment to transfer to FERS, in which case you will also be covered by Social Security.

If you leave Federal Government service and return after more than 1 year and you were previously covered under CSRS, then you are automatically covered by Social Security and:

In determining whether you have 5 years of service which is creditable under CSRS, count all civilian service as of your last separation from service, even though it may not have been covered by CSRS deductions, or you may have received a refund of CSRS deductions. You will receive credit for your CSRS service if you make any payments for your past service that may be required.

Even if you were never covered by CSRS, you are eligible for CSRS Offset coverage if you had 5 years of creditable civilian service before January 1, 1987.

If you are rehired under CSRS or CSRS Offset, you may elect to transfer to FERS within 6 months of reemployment. If you elect to transfer to FERS, the following rules apply.

- ✓ Your credit in CSRS is frozen, but your combined CSRS and FERS annuity will be based on the average of your highest 3 consecutive years of pay.
 - ✓ You will receive a full Civil Service Retirement System (CSRS) cost of living adjustment on the CSRS portion of your annuity.
 - ✓ Your service after the date of transfer is treated under the Federal Employees Retirement System (FERS) rules. (If you were under CSRS Offset, your offset service is also treated under rules.) In addition, all of your service is treated under FERS rules if you have less than 5 years of non-Offset CSRS service when you transfer.
 - ✓ All service (CSRS and FERS) counts toward years needed to be eligible for retirement, disability, survivor, and Thrift Saving Plan benefits under FERS.
 - ✓ All survivor and disability benefits are paid under FERS rules.
 - ✓ Unused sick leave is credited under CSRS rules based on the amount accumulated at the date of transfer or date of retirement, whichever is lower.
 - ✓ You have Social Security coverage when you enroll in FERS.
 - ✓ You will receive Government contributions to your TSP account and avoid the 6-12 month waiting period for participation.
- If you are converted from an appointment that is excluded from FERS coverage to an appointment that is not excluded, generally you will automatically be covered by FERS. If you are not automatically covered by the plan, you will have a 6-month opportunity to transfer to it.
- Note:** If you are eligible to elect FERS coverage because of being rehired or converted to a different appointment, you should read the *FERS Transfer Handbook — A Guide To Making Your Decision*, RI 90-3, before making a decision. Your personnel office should provide it to you.

Examples

The following examples illustrate the annual benefits that you can expect to receive under the Federal Employees Retirement System (FERS). In reviewing these examples, note that the benefits shown are estimates based upon certain assumptions about future salary increases, investment returns, and other factors that directly affect your final level of benefits.

Keep in mind the following features of specific benefit components:

- ✓ Two types of FERS benefits are shown. The "FERS basic benefit" is your regular annuity based on total years of service and your high-3 average salary. The "special supplement" is a substitute for Social Security that may be payable to you from when you retire under FERS until age 62. In most cases your actual Social Security benefit at age 62 will be higher than the FERS supplement you receive before age 62.
- ✓ Estimated Social Security benefits do not include any spousal or dependent benefits that may be available. These additional payments could significantly increase the total value of your Social Security benefits.
- ✓ Estimated benefits from the Thrift Savings Plan are shown in terms of a "single life annuity" purchase

with your account when you retire. The annuity includes 3% annual cost-of-living adjustments to help protect its purchasing power during your retirement years. These projected benefits are based on career-long investments at the stated percentages of pay. Your actual Thrift Savings Plan benefits will depend on your account's investment earnings and the specific payment form you elect when you retire.

Examples 1 and 2 are good illustrations of how Social Security provides a larger percentage of income to lower income employees than to higher income employees. Example 2 also shows that the higher income employee needs to save more in his TSP account to receive the same percentage of his final salary as the lower paid employee in example 1.

All benefits are shown in 1996 dollars. Annual benefits have been rounded to the nearest hundred dollars and percentages may not total exactly due to rounding. The economic assumptions used to create these examples are:

Inflation	3.5%
All wages	3.5%
Federal wages	3.5%
Nominal Interest	7.5%
Real Interest	4.0%

Example 1. Anne

Main Features:

- ✓ FERS coverage begins at age 25 in 1996
- ✓ Retirement at age 57 with 32 years of service in 2028
- ✓ Entry at Grade 3, Step 1
- ✓ Retirement at Grade 7, Step 10, salary \$32,600
- ✓ 3% Thrift Savings Plan contribution (plus 4% from agency)

Anne's estimated retirement benefits at age 57 under FERS are:

Initial FERS Benefit	Dollar Amount	As % of Final Year's Salary
Basic FERS Annuity	\$9,600	29%
Special Supplement	\$6,200	19%
Thrift Savings Plan	\$6,600	20%
Total Annual Benefits	\$22,300	69%

The special annuity supplement is payable until age 62. Anne's regular Social Security retirement benefits starting at age 62 would be about \$7,200 — 22% of her final salary.

If Anne had contributed 5% of her salary to the Thrift Savings Plan, rather than 3%, her yearly Thrift Savings Plan benefit would have been \$9,400. This would increase Anne's total initial FERS benefit to \$25,200 per year — 77% of her final yearly salary of \$32,600.

Example 2. Bob

Main Features:

- ✓ FERS coverage begins at age 25 in 1996
- ✓ Retirement at age 57 with 32 years of service in 2028
- ✓ Entry at Grade 7, Step 1
- ✓ Retirement at Grade 13, Step 10, salary \$68,700
- ✓ 3% Thrift Savings Plan contribution (plus 4% from agency)

Bob's estimated retirement benefits at age 57 under FERS are:

Initial FERS Benefit	Dollar Amount	As % of Final Year's Salary
Basic FERS Annuity	\$20,200	29%
Special Supplement	\$8,800	13%
Thrift Savings Plan	\$12,700	18%
Total Annual Benefits	\$41,700	61%

The special annuity supplement is payable until age 62. Bob's regular Social Security retirement benefits starting at age 62 would be about \$10,500 — 15% of his final salary.

If Bob had contributed 5% of his salary to the Thrift Savings Plan, rather than 3%, his yearly Thrift Savings Plan benefit would have been \$18,100. This would increase Bob's total initial FERS benefit to \$47,100 per year — 69% of his final yearly salary of \$68,700.

Example 3. Charles

Main Features:

- ✓ FERS coverage begins at age 40 in 1996
- ✓ Retirement at age 60 with 20 years of service in 2016
- ✓ Entry at Grade 7, Step 1
- ✓ Retirement at Grade 12, Step 8, salary \$54,800
- ✓ 3% Thrift Savings Plan contribution (plus 4% from agency)
- ✓ 15 years prior Social Security
- ✓ Final pre-Federal salary \$23,500

Charles's estimated retirement benefits at age 60 under FERS are:

Initial FERS Benefit	Dollar Amount	As % of Final Year's Salary
Basic FERS Annuity	\$9,900	18%
Special Supplement	\$4,900	9%
Thrift Savings Plan	\$5,500	10%
Total Annual Benefits	\$20,300	37%

The special annuity supplement is payable until age 62. Charles's regular Social Security retirement benefits starting at age 62 would be about \$9,700 — 18% of his final salary. (They include his pre-Federal employment.)

If Charles had contributed 5% of his salary to the Thrift Savings Plan, rather than 3%, his yearly Thrift Savings Plan benefit would have been \$7,900. This would increase Charles's total initial FERS benefit to \$22,700 per year — 41% of his final yearly salary of \$54,800.

Example 4. Donna

Main Features:

- ✓ FERS coverage begins at age 25 in 1996
- ✓ FERS service ends at age 45 in 2016
- ✓ Deferred benefit at MRA with reduction
- ✓ Entry at Grade 7, Step 1
- ✓ Separation at Grade 12, Step 8, salary \$54,800
- ✓ 3% Thrift Savings Plan contribution (plus 4% from agency)
- ✓ 17 years work after leaving government

Donna can begin receiving deferred FERS benefits at age 62. She also can begin receiving them as early as age 57, which is her Minimum Retirement Age. If she receives them at age 57, they are reduced 5% per year that she is under age 62 — a 25% reduction.

Donna's estimated retirement benefits at age 57 under FERS are:

Initial FERS Benefit	Dollar Amount	As % of Final Year's Salary
Basic FERS Annuity	\$4,900	9%
Special Supplement	\$0	0%
Thrift Savings Plan	\$8,100	15%
Total Annual Benefits	\$13,000	24%

Donna does not receive the special annuity supplement. Donna's regular Social Security retirement benefits based on her Federal employment starting at age 62 would be about \$11,000 — 20% of her final salary. However, since she continued working elsewhere, her age 62 Social Security benefit is based on the cumulative total benefit she earned.

If Donna had contributed 5% of her salary to the Thrift Savings Plan, rather than 3%, her yearly Thrift Savings Plan benefit would have been \$11,500. This would increase Donna's total initial FERS benefit to \$16,400 per year — 30% of her final yearly salary of \$54,800.

For More Information

There are several sources of assistance if you have questions or want more information about the components of your benefits package.

- ✓ **Your Agency's Personnel Office**—in your agency for questions concerning your individual situation. Your personnel office has your records and is in the best position to answer questions about the basic benefit and TSP rules. In addition, it should have the following publications to help answer questions.

Publications of the Federal Retirement Thrift Board:

Website — <http://www.tsp.gov>

- 📖 Summary of the Thrift Savings Plan for Federal Employees (TSPBK08)
- 📖 Investments: Options and Operations (TSPBK03)
- 📖 Thrift Savings Plan Loan Program (TSPBK04)
- 📖 Annuities (TSPBK05)
- 📖 Withdrawing Your TSP Account After Leaving Federal Service (TSPBK02)
- 📖 Information About Court Orders (TSPBK11)

Publications of the U.S. Office of Personnel Management:

Website — <http://www.opm.gov>

- 📖 *Information for Separating FERS Employees Who Are Not Eligible for an Immediate Annuity*, RI 90-11
- 📖 *Information about Reemployment for FERS Annuitants*, RI 90-18
- 📖 *Court-Ordered Benefits for Former Spouses Under CSRS, FERS, FEHB, and FEGLI*, RI 84-1
- 📖 *Work-Related Injuries and Fatalities — What You and Your Family Need to Know About Your Benefits*, RI 84-3
- 📖 *Life Events and Your Retirement and Insurance Benefits (For Employees)*, RI 84-3
- 📖 *Temporary Continuation of Coverage (TCC) under the Federal Employees Health Benefits Program*, RI 79-27
- 📖 *FEGLI Booklet*, RI 76-21
- 📖 *Thinking About Retirement?*, RI 83-11

- ✓ **Social Security Administration** — for questions concerning your Social Security benefits. You may call (800) 772-1213 with questions or to request a copy of your earnings record and estimated future benefits.

Website — <http://www.ssa.gov>

Retirement & Insurance Service



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and their families.*

THRIFT SAVINGS PLAN (TSP)

Summary of the Thrift Savings Plan

Your Plan



Your Future

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The Thrift Savings Plan

As a federal employee or member of the uniformed services, you have the opportunity to participate in the Thrift Savings Plan (TSP), a retirement savings plan similar to 401(k) plans offered to private sector employees. The purpose of the TSP is to give you the ability to participate in a long-term retirement savings and investment plan. Saving for your retirement through the TSP provides many advantages, including:

- automatic payroll deductions
- a diversified choice of investment options, including professionally designed lifecycle funds
- A choice of tax treatments for your contributions:
 - Traditional (pre-tax) contributions and tax-deferred investment earnings, and
 - Roth (after-tax) contributions with tax-free earnings at retirement if you satisfy the IRS requirements (see page 7)
- low administrative and investment expenses
- agency contributions, if you are an employee covered by the Federal Employees' Retirement System (FERS)
- under certain circumstances, access to your money while you are still employed by the federal government
- a beneficiary participant account established for your spouse in the event of your death¹
- a variety of withdrawal options

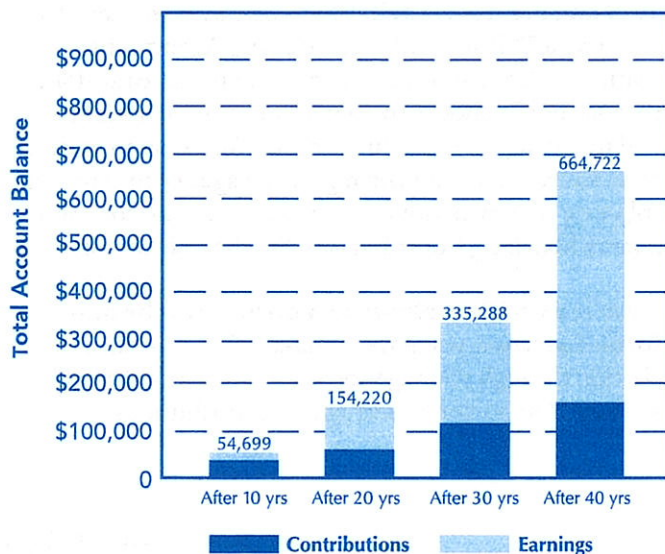
If you are covered by FERS, the TSP is one part of a three-part retirement package that also includes your FERS basic annuity and Social Security. If you are covered by the Civil Service Retirement System (CSRS) or are

a member of the uniformed services, the TSP is a supplement to your CSRS annuity or military retired pay.²

TSP benefits differ depending on your retirement system (FERS, CSRS, or uniformed services). If you aren't sure which retirement system covers you, check with your personnel or benefits office.

Regardless of your retirement system, participating in the TSP can significantly increase your retirement income, but starting early is important. Contributing early gives the money in your account more time to increase in value through the compounding of earnings.

Earnings Potential of Your TSP Account



Information in this chart assumes a salary of \$40,000, employee and agency contributions of 5% each, and a 6% rate of return.

Calculators at tsp.gov to help you plan for your future:

How Much Should I Save?
How Much Will My Savings Grow?
Contribution Comparison Calculator

¹ For more information, see the TSP booklet *Your TSP Account: A Guide for Beneficiary Participants*.

² See the Glossary for the definitions of FERS, CSRS, and uniformed services. These generic categories cover multiple retirement systems.

Establishing Your TSP Account

The first contribution to the TSP—your own contribution or your agency’s—establishes your account.

If you’re a **FERS employee hired (or a FERS or CSRS employee rehired) after July 31, 2010**, your agency has automatically enrolled you in the TSP, and 3% of your basic pay is deducted from your paycheck every pay period and deposited in your TSP account, unless you made a contribution election to stop or change your contributions. If you’re FERS, you also get contributions from your agency, so the total automatic contribution to your TSP account is 7% every pay period. See “TSP Contributions” on page 3.

If you’re a **FERS employee hired before August 1, 2010 and are not contributing your own money**, you still have a TSP account with accruing Agency Automatic (1%) Contributions. If you have not already done so, you should choose to contribute your own money and receive agency matching money. You have to **make a contribution election through your agency** to start contributing your own money to your account and to receive Agency Matching Contributions. See the next section.

If you’re a **CSRS employee or a member of the uniformed services**, you have to make a TSP contribution election through your agency or service to establish a TSP account. You do not receive agency contributions.

The TSP Contribution Election

TSP contributions are payroll deductions. You have to make a **“contribution election” through your agency or service to:**

- start your contributions if you were not automatically enrolled;
- increase or decrease your contributions if you were automatically enrolled;
- change the amount of your employee contributions or their tax treatment (traditional or Roth);
- stop your contributions.

First, ask your personnel or benefits office whether your agency or service handles TSP enrollments through paper TSP forms OR electronically through automated systems such as Employee Express, EBIS, myPay, LiteBlue, or the NFC EPP.

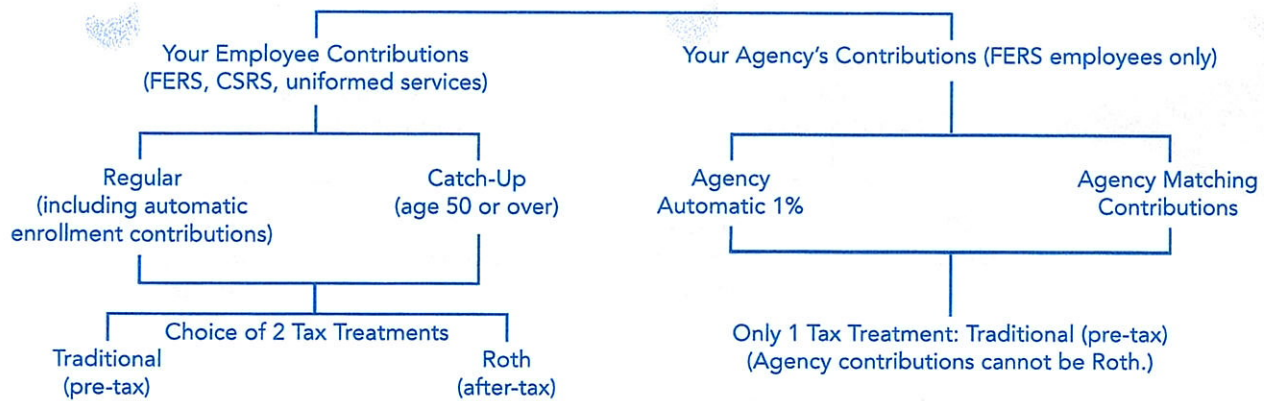
Next, tell your personnel or benefits office how much you want to contribute and the tax treatment of your contributions through the agency’s or service’s electronic system or by way of a TSP-1 form. (See page 4.) You can get copies of these forms from the TSP website (tsp.gov) or from your agency or service. **Return completed forms to your agency or service, not to the TSP. Your agency needs your information to set up your payroll deductions.**

Your election should be effective no later than the first full pay period after your agency or service receives it.

New Employee Checklist

1. Consider increasing your contributions to at least 5% to get the full agency match if you’re a FERS employee (page 4).
2. Look for your TSP account number, web password, and ThriftLine Personal Identification Number (PIN) in the mail.
 - ◆ Account number + web password = online account access
 - ◆ Account number + PIN = ThriftLine (telephone) account access
3. Decide how you want contributions to your account to be invested, and access your account through the web or ThriftLine to:
 - ◆ Make a “contribution allocation” to change the investment of future contributions to your account (page 15).
 - ◆ Make an “interfund transfer” to change the investment of money already in your account (page 15).
4. Think about whether you want to designate beneficiaries to receive your account in the event of your death (page 23).

TSP CONTRIBUTIONS come from 2 sources:



Employee Contributions—For FERS, CSRS, and Uniformed Services

There are two types of employee contributions:

- Regular
- Catch-Up (for participants 50 and older)

You have to contribute the maximum of regular contributions to be eligible to make catch-up contributions.

You can also choose between two tax treatments for your contributions:

- Traditional (pre-tax)
- Roth (after-tax)

See “A Choice of Tax Treatments” on page 6.

Regular Employee Contributions are payroll deductions that come out of your basic pay before taxes are withheld (traditional contributions) or after taxes have been withheld (Roth contributions). Each pay period, your agency or service will deduct your contribution from your pay in the amount you choose (or the automatic enrollment amount of 3%) and send your contribution to the TSP. Your agency or service will continue to do this until you make a new TSP election to change your contribution or stop it, or until you reach the Internal Revenue Code (IRC) contribution limit (see page 5). How do you know if the correct amount is coming out of your pay? Check your earnings and leave statement to verify the amount.

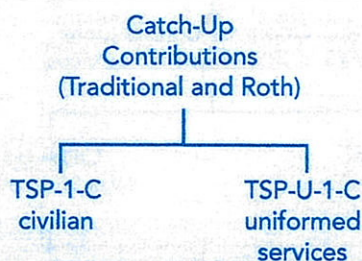
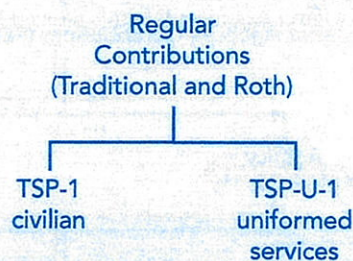
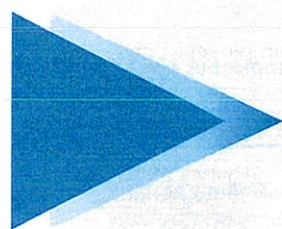
Special conditions for uniformed service members:

In addition to basic pay, you can also contribute from 1 to 100% of any incentive pay, special pay, or bonus pay — as long as you elect to contribute at least 1% from basic pay. Your total contributions from all types of pay must not exceed the applicable IRC contribution limit (see pages 5 and 6).

You can elect to contribute from incentive pay, special pay, or bonus pay, even if you are not currently receiving them. These contributions will be deducted when you receive any of these types of pay. If you are receiving tax-exempt pay (i.e., pay that is subject to the combat zone tax exclusion), your contributions from that pay will also be tax-exempt. (Earnings on tax-exempt contributions designated as traditional will be taxed at withdrawal. Earnings on tax-exempt contributions designated as Roth will be tax-free at withdrawal, provided you meet the requirements detailed on page 7.)

Catch-Up Contributions are payroll deductions that participants who are age 50 or older may be eligible to make in addition to regular employee contributions. Catch-up contributions are voluntary and can be either traditional (pre-tax) or Roth (after-tax). To be eligible to make catch-up contributions, you must already be contributing an amount that will reach the IRC elective deferral limit by the end of the year. In the year you turn 50, you can begin making catch-up contributions at any time. Each pay period, your agency or service will make your contribution to the TSP from your pay in the amount you choose. Your catch-up contributions will stop automatically when you meet the IRC catch-up contribution limit (see page 6) or at the end of the calendar year, whichever comes first. Your catch-up contributions will not continue from year to year; you have to make a new election for each calendar year.

Contribution Election. Start, stop, or change your contributions using your agency's or your service's electronic system or using a TSP election form:



Special conditions for uniformed service members:

You can't make catch-up contributions from incentive pay, special pay, or bonus pay. What's more, your traditional catch-up contributions will stop if you are receiving tax-exempt pay in a combat zone. **Only Roth catch-up contributions are allowed from tax-exempt pay.**

Agency Contributions for FERS Employees

As a FERS employee, you receive Agency Automatic (1%) and Matching Contributions (on your own TSP contributions). These contributions don't increase the dollar amount of your pay for income tax or Social Security purposes, nor do they come out of your pay. They're an important employee benefit—a critical part of the FERS retirement system—and they are deposited into your TSP account by your agency. It's important to understand how these contributions work and to maximize them for a comfortable retirement.

Agency Automatic (1%) Contributions—equal to 1% of your basic pay—are deposited into your FERS employee TSP account every pay period, beginning the first time you're paid. Agency Automatic (1%) Contributions are not taken out of your pay; your agency gives them to you. You don't have to contribute any money to your TSP account to receive these contributions, but they are subject to "vesting."

Vesting means that you are entitled to keep your Agency Automatic (1%) Contributions (and their earnings) after you've completed a time-in-service requirement—3 years for most FERS employees and 2 years for FERS employees in Congressional and certain noncareer positions. All federal civilian service counts toward vesting—not just service while you are a TSP participant.

The date your vesting period begins is determined by your TSP Service Computation Date (TSP-SCD), which your agency reports to the TSP. Your Service Computation Date is shown along with other vesting information on your quarterly and annual TSP participant statements. The date will never be earlier than January 1, 1984.

If you leave government service before you satisfy the vesting requirement, your Agency Automatic (1%) Contributions and their earnings must be forfeited. However, if you die before separating from service, you are automatically considered vested in all of the money in your account.



You are always vested in your own contributions and their earnings and in your Agency Matching Contributions and their earnings.

Agency Matching Contributions—If you're a FERS participant, you receive Agency Matching Contributions on the first 5% of pay you contribute **every pay period**. The first 3% is matched dollar-for-dollar by your agency; the next 2% is matched at 50 cents on the dollar. This means that when you contribute 5% of your basic pay, your agency contributes another 4% of your basic pay to your TSP account. Together with the Agency Automatic (1%) Contribution you get, your agency puts in a total of 5%. Keep in mind, though, that if you stop your employee contributions, your Agency Matching Contributions will also stop, but Agency Automatic (1%) Contributions will continue to go into your account. You can contribute more than 5% (see "How Much You Can Contribute" on the next page), but your agency only matches the first 5% you contribute.

CSRS participants do not receive matching contributions.

Agency Contributions to Your Account (FERS Employees Only)

You put in:	Your agency puts in:		And the total contribution is:
	Automatic (1%) Contribution	Agency Matching Contribution	
0%	1%	0%	1%
1%	1%	1%	3%
2%	1%	2%	5%
3%	1%	3%	7%
4%	1%	3.5%	8.5%
5%	1%	4%	10%
More than 5%	1%	4%	Your contribution + 5%



If you're an automatically enrolled FERS employee, increase your contribution to at least 5% to get your agency's full match.

Currently, members of the uniformed services do not receive matching contributions. However, the secretary of each individual service is allowed by law to designate particular critical specialties as eligible for matching contributions under certain circumstances.

How Much You Can Contribute

The Internal Revenue Code (IRC) places a number of specific limits on the dollar amount of contributions you can make to the TSP.³ They are generally referred to as the "IRS limits" because the Internal Revenue Service (IRS) is responsible for calculating them each year. The annual limits can change and when they do, the TSP announces them on the TSP website and the ThriftLine as well as through its various publications. You can find the current limits at any time on our website. Click on Quick Links from the home page.

The IRC **elective deferral limit**⁴ is the maximum amount of employee contributions that can be contributed in a

calendar year. The elective deferral limit applies to the combined total of your tax-deferred traditional contributions and Roth contributions.




If you're a FERS employee who likes to contribute larger amounts to your account early in the year, be sure you don't reach the elective deferral limit too early and miss out on valuable Agency Matching Contributions. Use our [How Much Can I Contribute?](#) calculator to determine how much you should deduct to maximize your contributions.

For members of the uniformed services, elective deferrals include all traditional and Roth contributions from taxable basic pay, incentive pay, special pay, and bonus pay. However, the elective deferral limit does **not** apply to traditional contributions made from tax-exempt pay earned in a combat zone. If you are a member of the uniformed services who is contributing to both a uniformed services and a civilian TSP account as a FERS employee, the elective deferral limit applies to the total amount of tax-deferred traditional employee and Roth contributions you make in a calendar year.

³ Territories of the United States are not subject to the contribution limits set by the IRC. If you are a resident of a U.S. territory, check with your Territorial Tax Authority to see what limits apply to your TSP contributions.

⁴ The IRC elective deferral limit is subject to change every year. You can find the most current information on [tsp.gov](https://www.tsp.gov) by clicking on "Contribution Limits" under Quick Links on the home page.

Elective deferrals do not include Agency Automatic (1%) or Agency Matching Contributions.




If you contribute to the TSP as a member of the uniformed services **and** as a civilian FERS employee, be sure that your combined contributions do not cause you to reach the IRC elective deferral limit before the end of the calendar year. If you do, you could lose out on matching contributions from your civilian agency.

The IRC **section 415(c)**⁵ limit is an additional limit that the IRC imposes on the total amount of all contributions made on behalf of an employee to an eligible retirement plan in a calendar year. “All contributions” include employee contributions (tax-deferred, after-tax, and tax-exempt), Agency Automatic (1%) Contributions, and Agency Matching Contributions.

Members of the uniformed services should pay particular attention to this section 415(c) limit if they contribute from pay that is subject to the combat zone tax exclusion because section 415(c) limits the amount of tax-exempt pay a uniformed services participant may contribute.

The **catch-up contribution limit**⁵ (IRC section 414(v)) is the maximum amount of catch-up contributions that can be contributed in a calendar year by participants age 50 and older. It is separate from both the elective deferral limit imposed on regular employee contributions and the IRC section 415(c) limit imposed on employee contributions (tax-deferred, after-tax, and tax-exempt), Agency Automatic (1%) Contributions, and Agency Matching Contributions.




Transferring to another agency or service? Be sure to notify your new personnel/payroll office that you have been contributing to the TSP so you can avoid an interruption in your contributions. It's your responsibility to notify your agency or service if your contributions don't start. If you don't, it's possible that you won't be able to make up missed contributions.

A Choice of Tax Treatments

The TSP offers you two tax treatments for your employee contributions when you make a contribution election:

1. **Traditional TSP** — If you make **traditional contributions**, you defer paying taxes on your contributions and their earnings until you withdraw them. If you are a uniformed services member making tax-exempt contributions, your contributions will be tax-free; only your earnings will be subject to tax at withdrawal.
2. **Roth TSP** — If you make **Roth contributions**, you pay taxes on your contributions as you are making them (unless you are making tax-exempt contributions from combat pay) and get your earnings tax-free at withdrawal, as long as you meet the requirements to qualify.



You can make both traditional and Roth contributions. You can contribute in any percentages or amounts you choose, and change your election at any time. The introduction of Roth contributions gives you the opportunity to diversify the tax treatment of the money in your account.

Traditional TSP and Roth TSP

The Thrift Savings Plan began accepting Roth TSP employee contributions in May 2012. All employee contributions made before May 2012 are considered traditional contributions. When a participant is automatically enrolled in the TSP, he or she begins by making traditional contributions. **If you want to make Roth contributions, you have to submit a contribution election to tell your agency or service what portion of your contributions you want designated as Roth.**

⁵ IRC limits are subject to change every year. You can find the most current information on tsp.gov by clicking on “Contribution Limits” under Quick Links on the home page.

Compare the Effects of Traditional and Roth Contributions

The Treatment of . . .	Traditional	Roth
Contributions	Pre-tax	After-tax
Your Paycheck	Taxes are deferred,* so less money is taken out of your paycheck.	Taxes are paid up front,* so more money comes out of your paycheck.
Transfers In	Transfers allowed from eligible employer plans and traditional IRAs	Transfers allowed from Roth 401(k)s, Roth 403(b)s, and Roth 457(b)s
Transfers Out	Transfers allowed to eligible employer plans, traditional IRAs, and Roth IRAs	Transfers allowed to Roth 401(k)s, Roth 403(b)s, Roth 457(b)s, and Roth IRAs
Withdrawals	Taxable when withdrawn	Tax-free earnings if 5 years have passed since January 1 of the year you made your first Roth contribution, AND you are age 59½ or older, permanently disabled, or deceased

* If you are a member of the uniformed services receiving tax-exempt pay (i.e., pay that is subject to the combat zone tax exclusion), your contributions from that pay will also be tax-exempt.

Traditional (pre-tax) contributions are taken out of your paycheck before your income is taxed. This lowers your current taxable income and gives you a tax break today. If you are a FERS employee, your agency's contributions also go into your traditional balance. This money grows in your account tax-deferred, but when you withdraw your money, you pay taxes on both the contributions and their earnings.

Roth (after-tax) contributions are taken out of your paycheck after your income is taxed. When you withdraw funds from your Roth balance, you will receive your Roth contributions tax-free, since you already paid taxes on these contributions. In addition, you will not have to pay taxes on the earnings, **as long as 5 years have passed since January 1 of the calendar year when you made your first Roth TSP contribution (known as the 5-year rule) AND you are at least age 59½, permanently disabled, or deceased.** If you satisfy these Internal Revenue Code (IRC) requirements, your earnings will be considered "**qualified**," and you will not pay any taxes on them at withdrawal.

Note: The TSP cannot certify to the IRS that you meet the IRC's definition of disability when your taxes are reported. You must provide the justification to the IRS when you file your taxes.

Tax-exempt contributions are contributions uniformed service members may make while earning tax-exempt pay in a combat zone. If your tax-exempt contributions are designated as traditional contribu-

tions, you will pay no tax on the contributions, but your earnings will be taxed when withdrawn. If your contributions are designated as Roth, you will pay no taxes on your contributions, and their earnings will also be tax-free when withdrawn, as long as you meet the IRC requirements detailed in "Roth (after-tax) contributions" on this page.

Traditional and Roth balances. If you make an election to choose Roth contributions, your account will then be made up of two separate balances—traditional and Roth. These two "pots" of money will keep your contributions and any money you transfer into (or out of) your TSP account separate for tax purposes, but any loans, withdrawals, and interfund transfers you make will include a proportional amount from each balance. You will not be able to take out, borrow from, or change the investment of, just one pot of money.

Roth TSP is similar to a Roth 401(k), not a Roth IRA. There are no income limits for Roth TSP contributions.

In the following sections, you will be able to compare the effects of traditional and Roth contributions on annual take-home pay and on account balance at withdrawal.

Traditional Contributions vs. Roth Contributions: An Example of the Effect on Your Current Income

When you make traditional (pre-tax) contributions, you get two immediate tax advantages: Your actual TSP contribution is not taxed (it's tax-deferred until you withdraw) AND the money you contribute is taken out of your pay before federal (and in most cases state) income taxes are calculated. As a result, the amount of pay used to calculate your taxes is reduced, so less money is withheld from your pay for taxes.

When you make Roth contributions, assuming you contribute the same percentage or amount of your pay to the TSP as you contribute in traditional contributions, more money will come out of your annual take-home pay.

Example:

Traditional TSP Savings	
Annual pay (gross)	\$40,000
Minus TSP contributions (5% of \$40,000)	- 2,000
Net taxable income	\$38,000
Minus estimated federal income tax	- 3,846
Net spendable income	\$34,154

Roth TSP Savings	
Annual pay (gross)	\$40,000
Minus estimated federal income tax	- 4,154
Net income after taxes	\$35,846
Minus TSP contributions (5% of \$40,000)	- 2,000
Net spendable income	\$33,846

Based on a participant filing singly—with one personal exemption and standard deductions.

The difference: If you made traditional pre-tax contributions, you would have \$308 more in your pocket in the current year than if you made Roth contributions.

Traditional Contributions vs. Roth Contributions: An Example of the Effect on Your Long-Term Savings

Choosing between traditional and Roth contributions comes down to whether you would be better off paying taxes on your contributions now or later; in other words, your marginal tax rate now versus your rate at retirement. Your personal situation will determine whether it is better to have the tax savings of traditional contributions now or the tax-free earnings of Roth contributions later.

To demonstrate this tax principle, suppose in one year you could afford to give up \$4,000 of your income for retirement savings in the TSP, and you are in the 25% tax bracket. You could put \$4,000 (traditional pre-tax), or \$3,000 (Roth after-tax) into your TSP account. (The \$4,000 that comes out of your paycheck to make Roth contributions = \$3,000 in contributions + \$1,000 in federal income taxes.) The chart below compares the value after 10 years (at 6% annual rate of return) of this one-year \$4,000 paycheck deduction after taxes, taking into consideration a lesser, equal, or greater marginal tax rate at retirement.

		Traditional Pre-Tax	Roth After-Tax
Pre-tax vs. After-tax contributions	25% tax rate	\$4,000	\$3,000
After-tax value if	15% tax rate	6,089	5,373
withdrawn	25% tax rate	5,373	5,373
in 10 years:	28% tax rate	5,158	5,373

Generally, traditional contributions are to your advantage if your tax rate will be lower in retirement. Roth contributions are to your advantage if your tax rate will be higher in retirement. If your income tax rate is the same in retirement as when you made the contributions, you'll end up with the same amount in your account whether you make Roth or traditional contributions.

The Contribution Comparison Calculator on the TSP website allows you to input information about your own situation and compare the effects of making traditional and Roth contributions on your long-term savings (as well as your paycheck). Visit the Contribution Comparison Calculator to see whether making Roth contributions could be to your advantage. You should also consult a qualified tax advisor or financial advisor. Remember to reassess your decision any time your tax, income, or personal situation changes.



Roth contributions are ideal for uniformed services members earning tax-exempt pay in a combat zone.

You are not paying taxes on your contributions, why pay taxes on their earnings? Another advantage for the service member is that Roth catch-up (age 50 or over) contributions are permitted from tax-exempt pay, while traditional catch-up contributions are not.

Tax Liability

When you withdraw your money from the TSP, you will owe taxes on any traditional contributions (except contributions made from tax-exempt pay), and the earnings they have accrued. Depending on the type of withdrawal, you can continue to defer the taxes by transferring or rolling over your TSP payment to a traditional individual retirement account (IRA) or an eligible employer plan.⁶ You can also transfer or roll over your traditional funds to a Roth IRA, but you will have to pay taxes on the full amount in the year of the transfer.

If you have Roth contributions in your account, you have already paid taxes on them. You will not owe any further taxes on your Roth contributions, and you will not owe taxes on their earnings if your withdrawal payment is a “qualified distribution.” In other words, if 5 years have passed since January 1 of the calendar year when you made your first Roth contribution **and** you have reached age 59½, or have a permanent disability, the entire Roth portion of your account will be paid out tax-free. If your earnings are not qualified, you can defer paying taxes on them in many cases by transferring your payment to a Roth IRA or Roth account maintained by an eligible employer plan.⁶

⁶ Monthly payments that are expected to last 10 years or more or are based on life expectancy cannot be transferred or rolled over.

Retirement age and the penalty tax. If you receive a TSP withdrawal payment before you reach age 59½, you may have to pay a 10% early withdrawal penalty tax on any taxable part of the distribution not transferred or rolled over. This penalty tax is in addition to the regular income tax you owe, but there are exceptions. In general, if you leave federal service during or after the year you reach age 55 (or the year you reach age 50 if you’re a public safety employee⁷), the 10% penalty tax does not apply to any withdrawal you make that year or later.

In addition, disability retirement approved by the Office of Personnel Management may not exempt you from the early withdrawal penalty tax. The IRS requirement is more stringent, and you will have to substantiate your claim of exemption with the IRS. There are other exceptions to the early withdrawal penalty tax. See the tax notice *Important Tax Information About Payments From Your TSP Account*, which is available from the TSP website, your agency or service, or the TSP. The tax rules that apply to distributions from the TSP are complex, and you may also want to consult with a tax advisor or the IRS before you make any withdrawal decisions.

Retirement Savings Contributions Credit. You may be able to take a tax credit for your TSP contributions. The Retirement Savings Contribution Credit (or Saver’s Credit) is designed to encourage low- and modest-income individuals to save for retirement. Eligibility depends on your adjusted gross income (AGI) and filing status. For more information, see your tax advisor or refer to IRS Form 8880.

Moving Money From Other Plans Into the TSP

The TSP **will accept** into the **traditional** balance of your TSP account:

- both transfers and rollovers of tax-deferred money from traditional individual retirement accounts (IRAs), SIMPLE IRAs, and eligible employer plans.

⁷ The term “public safety employee” is defined in section 72(t)(10)(B)(ii) of the Internal Revenue Code. Consult your employing agency or service if you have questions about whether this applies to you.


The TSP **will accept** into the **Roth** balance of your TSP account:

- transfers of qualified and nonqualified Roth distributions from Roth 401(k)s, Roth 403(b)s, and Roth 457(b)s.

If you don't already have a Roth balance in your TSP account, the transfer will create one.

The TSP **will not accept** into your **Roth** balance:

- rollovers of Roth distributions that have already been paid to you, and
- transfers or rollovers from Roth IRAs.



Moving money from eligible employer plans and IRAs into your TSP account is a great way for you to consolidate your retirement savings and take advantage of the TSP's very low costs.

There are two ways to move money into your TSP account:

1. **Transfer money directly to the TSP.** You can have your IRA or plan send all or part of the money directly to the TSP. This is called a “**transfer**” or “direct rollover.” Use Form TSP-60, *Request for a Transfer Into the TSP*, for tax-deferred amounts you want to transfer, and Form TSP-60-R for the transfer of Roth money. These forms are available on the TSP website or from your agency or service.
2. **Roll over non-Roth money into the TSP.** You receive the money from your IRA or plan and put it into the TSP yourself using Form TSP-60. This is called a “**rollover**.” If you decide to do a rollover, you will have **60 days** to complete it, beginning on the date you receive the funds. You can roll over all or part of the money you receive. Your IRA or former plan will withhold the appropriate amount for taxes before it sends you the money. Keep in mind, then, that if you want to roll over the entire amount of the distribution, you will have to add in from your own funds the amount that was withheld for taxes. Any amount you don't roll over will be subject to federal income tax. (The TSP will not accept rollovers of Roth money.)

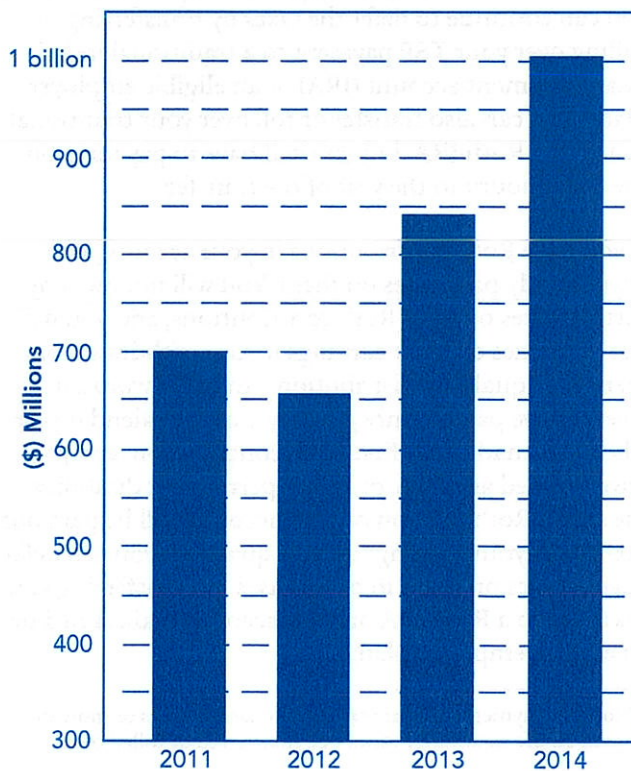
Your transfer or rollover will be invested in the TSP according to your latest contribution allocation (see page 15). The money you move into the TSP does not count toward the IRC contribution limits.

Conditions for the transfer. The TSP will accept a transfer or rollover under the following conditions:

- The money must be considered an “eligible rollover distribution” for federal income tax purposes. (Verify this by checking with your tax advisor or the administrator of the IRA or plan from which you are moving the money.)
- You can transfer money into the TSP only if you have an existing TSP account.
- You cannot open a TSP account by transferring money into it. However, if you have an open TSP account, you can start a Roth balance with a transfer of Roth money, even if you have not elected Roth contributions.

Why transfer your money into the TSP? Transferring money into your TSP account allows you to consolidate your retirement savings in one place. This makes it easier to evaluate whether you are on target to reach your retirement savings goals, and to make sure the right asset allocation to meet these goals is applied to all your savings. Also, because of the TSP's now legendary low costs, your savings can grow faster. This is why record numbers of TSP participants have been moving money into the TSP over the years, as the following chart shows.

**Transfers and Rollovers
Into the TSP**



Investing in the TSP

The TSP offers you two approaches to investing your money:

- **The L Funds**—These are “Lifecycle” funds that are invested according to a professionally designed mix of *stocks, bonds, and government securities*. You select your L Fund based on your “time horizon,” the future date at which you plan to start withdrawing your money. Depending upon your plans, this may be as soon as you leave or further in the future.
- **Individual Funds**—You make your own decisions about your investment mix by choosing from any or all of the individual TSP investment funds (G, F, C, S, and I Funds).

These investment options are designed so you can choose either the L Fund that is appropriate for your time horizon, or a combination of the individual TSP funds that will support your personal investment strategy. However, you may invest in any fund or combination of funds. Because the L Funds are already made up of the five individual funds, you will duplicate your investments if you invest simultaneously in an L Fund and the individual TSP funds.

Special note: If you are a civilian and you were enrolled on or after September 5, 2015, then unless you choose another investment option, all contributions received by the TSP are deposited into the Lifecycle (L) Fund targeted most closely to the year you turn 62. If you were rehired after a break in federal service, a number of factors affect how your contributions will be invested by default. It is especially important for you to review your statements to ensure your money is being invested according to your wishes. If you are a member of the uniformed services or you are a civilian who enrolled before September 5, 2015, then until you make an investment election, all contributions to your account are deposited into the Government Securities Investment (G) Fund.

The L Funds

The L Funds are designed for participants who may not have the time, experience, or interest to manage their TSP retirement savings. The assumption underlying the L Funds is that the participants who won’t need their money for quite a long time are able to tolerate more

risk while seeking higher returns. The funds automatically adjust to reflect a reduced ability to tolerate risk as the need for income nears.

The five **L Funds** are:

- **L 2050**
- **L 2040**
- **L 2030**
- **L 2020**
- **L Income**

The most optimal L Fund is the one that most closely matches your time horizon, that is, the year you expect to start withdrawing money from your TSP account. For example, if your target date is 2045 or later, the L 2050 Fund is designed to match that time horizon.

If you are currently receiving income from your TSP account or plan to start withdrawing in the very near future, consider the L Income Fund. It is designed to focus primarily on preserving the assets in your account.

If your entire account is in one of the L Funds, you will not have to worry about rebalancing it based on your time horizon.

Each L Fund invests in a mix of the five individual TSP funds. The mix is chosen by experts based on each fund’s time horizon. The L Funds’ asset allocations are designed to achieve the highest expected rate of return for the amount of risk taken. If the time horizon is a long time from now, the L Fund will be more exposed to risky assets, such as stocks in the C, S, and I Funds. As time horizons shorten, allocations gradually shift toward less volatile government securities (G Fund).

Each L Fund is automatically rebalanced, generally each business day, to restore the fund to its intended investment mix. Each quarter, the funds’ asset allocations are adjusted to slightly more conservative investments. When an L Fund reaches its designated time horizon, it will roll into the L Income Fund, and a new fund will be added with a more distant time horizon.

Investing in the L Funds does not eliminate risk, and the funds are not guaranteed against loss. The L Funds are subject to the risks inherent in the underlying funds and can have periods of gain and loss.

Detailed information about each L Fund is available on the TSP website.

The Individual Funds

The TSP has five individual investment funds:

The Government Securities Investment (G) Fund—The G Fund is invested in short-term U.S. Treasury securities. It gives you the opportunity to earn rates of interest similar to those of long-term government securities with no risk of loss of principal. Payment of principal and interest is guaranteed by the U.S. government. The interest paid by the G Fund securities is calculated monthly based on the market yields of all U.S. Treasury securities with more than 4 years to maturity; the interest rate changes monthly.

The Fixed Income Index Investment (F) Fund—The F Fund is invested in a separate account that is managed to track the Bloomberg Barclays U.S. Aggregate Bond Index. This is a broad index representing the U.S. government, mortgage-backed, corporate, and foreign government (issued in the U.S.) sectors of the U.S. bond market. This fund offers you the opportunity to earn rates of return that exceed money market fund rates over the long term (particularly during periods of declining interest rates).

The Common Stock Index Investment (C) Fund—The C Fund is invested in a separate account that is managed by BlackRock and tracks the Standard & Poor’s 500 (S&P 500) Stock Index. This is a market index made up of the stocks of 500 large to medium-sized U.S. companies. It offers you the potential to earn the higher investment returns associated with equity investments.

The Small Capitalization Stock Index Investment (S) Fund—The S Fund is invested in a stock index fund that tracks the Dow Jones U.S. Completion Total Stock

Market (TSM) Index. This is a market index of small and medium-sized U.S. companies that are not included in the S&P 500 index. It offers you the opportunity to earn potentially higher investment returns that are associated with “small cap” investments, but with greater volatility.

International Stock Index Investment (I) Fund—The I Fund is invested in a stock index fund that tracks the MSCI EAFE (Europe, Australasia, Far East) Index. This is a broad international market index, made up of primarily large companies in more than 20 developed countries. It gives you the opportunity to invest in international stock markets and to gain a global equity exposure in your portfolio.

The chart on page 13 compares these five funds and provides more information about each.

Because the TSP funds are trust funds that are regulated by the Office of the Comptroller of the Currency and not by the Securities and Exchange Commission (SEC), they do not have ticker symbols (i.e., unique identifiers assigned to securities (including mutual funds) registered with the SEC). You can, however, obtain additional information about the underlying indexes that certain TSP funds track by visiting the following websites:

TSP Fund	Index TSP Fund Tracks
F Fund	Bloomberg Barclays U.S. Aggregate Bond Index (www.bloombergindices.com)
C Fund	Standard & Poor’s 500 Stock Index (www.standardandpoors.com)
S Fund	Dow Jones U.S. Completion Total Stock Market (TSM) Index (www.djindexes.com)
I Fund	MSCI EAFE Index (www.msci.com)

Comparison of the TSP Funds

The chart below provides a comparison of the available TSP funds. For **more detailed information** about each fund, see the **TSP Fund Information sheets** (available on the TSP website, from your agency or service, or from the TSP).

	G Fund	F Fund*	C Fund*	S Fund*	I Fund*	L Funds**
Description of Investments	Government securities (specially issued to the TSP)	Government, corporate, and mortgage-backed bonds	Stocks of large and medium-sized U.S. companies	Stocks of small to medium-sized U.S. companies not included in the C Fund	International stocks of more than 20 developed countries	Invested in the G, F, C, S, and I Funds
Objective of Fund	Interest income without risk of loss of principal	To match the performance of the Bloomberg Barclays U.S. Aggregate Bond Index	To match the performance of the Standard & Poor's 500 (S&P 500) Stock Index	To match the performance of the Dow Jones U.S. Completion TSM Index	To match the performance of the MSCI EAFE (Europe, Australasia, Far East) Index	To provide professionally diversified portfolios based on various time horizons, using the G, F, C, S, and I Funds
Risk (See page 14)	Inflation risk	Market risk, credit risk, prepayment risk, inflation risk	Market risk, inflation risk	Market risk, inflation risk	Market risk, currency risk, inflation risk	Exposed to all of the types of risk to which the individual TSP funds are exposed—but total risk is reduced through diversification among the five individual funds
Volatility	Low	Low to moderate	Moderate	Moderate to high	Moderate to high	Asset allocation shifts as time horizon approaches to reduce volatility
Types of Earnings***	Interest	Change in market prices Interest	Change in market prices Dividends	Change in market prices Dividends	Change in market prices Change in relative value of currency Dividends	Composite of earnings in the underlying funds
Inception Date	April 1, 1987	Jan. 29, 1988	Jan. 29, 1988	May 1, 2001	May 1, 2001	August 1, 2005****

* The F, C, S, and I Funds also have earnings from securities lending income and from temporary investments in G Fund securities. These amounts represent a very small portion of total earnings.

** Each of the L Funds is invested in the individual TSP funds (G, F, C, S, and I). The proportion of your L Fund balance invested in each of the individual TSP funds depends on the L Fund you choose.

*** Income from interest and dividends is included in the share price calculation. It is not paid directly to participants' accounts.

**** The L 2010 Fund reached its time horizon and was retired on December 31, 2010, making way for the L 2050 Fund, which has an inception date of January 28, 2011.

Fund Risks

There are various types of risk associated with the TSP funds. There is no risk of investment loss in the G Fund. However, investment losses can occur in the F, C, S, and I Funds. Because the L Funds are invested in the individual TSP funds, they are also subject to the risks to which those underlying funds are exposed. These risks include:

- **Credit risk**—The risk that a borrower will default on a scheduled payment of principal and/or interest. This risk is present in the F Fund.
- **Currency risk**—The risk that the value of a currency will rise or fall relative to the value of other currencies. Currency risk occurs with investments in the I Fund because of fluctuations in the value of the U.S. dollar in relation to the currencies of the countries in the EAFE index.
- **Inflation risk**—The risk that your investments will not grow enough to offset the effects of inflation. This risk is present in all five funds.
- **Market risk**—The risk of a decline in the market value of the stocks or bonds. This risk is present in the F, C, S, and I Funds.
- **Prepayment risk**—A risk associated with the mortgage-backed securities in the F Fund. During periods of declining interest rates, homeowners may refinance their high-rate mortgages and prepay the principal. The F Fund must reinvest the cash from these prepayments in current bonds with lower interest rates, which lowers the return of the fund.

Consider both risk and return. Over a long period of time, the F Fund (bonds) and the C, S, and I Funds (stocks) have higher potential returns than the G Fund (government securities). But stocks and bonds also carry the risk of investment losses, which the G Fund does not.

You need to be comfortable with the amount of risk you expect to take. Your investment comfort zone should allow you to use a long-term strategy so that you are not chasing market returns during upswings, or abandoning your investment strategy during downswings.

You can reduce your overall risk by diversifying your investments. The five individual TSP funds offer a broad range of investment options, including government securities, bonds, and domestic and foreign stocks. Generally, it's best not to put "all of your eggs in one basket."

The amount of risk you can sustain depends upon your investment time horizon. The more time you have before you need to withdraw your account, the more risk you may be able to take. (This is because early losses can be offset by later gains.)

Periodically review your investment choices. Check the distribution of your account balance among the funds to make sure that the mix you chose is still appropriate for your situation. If not, rebalance your account to get the allocation you want. You can rebalance your account by making an interfund transfer.

Choosing Your Own Investment Mix

If you decide not to invest in the L Funds and you would rather choose your own investment mix from the G, F, C, S, and I Funds, remember that your investment allocation is one of the most important factors affecting the growth of your account. If you prefer this approach, keep the following points in mind:

Contribution Allocations and Interfund Transfers

There are two types of investment transactions you can make:

- **Contribution allocation**
- **Interfund transfer**

Contribution allocations. A contribution allocation specifies how you want to invest new money *going into* your TSP account.

Your contribution allocation will apply to all future deposits to your account. These include: employee contributions; agency contributions (if you are FERS); any special pay, incentive pay, or bonus pay that you contribute as a member of the uniformed services; any money you move into the TSP from other retirement plans; and any TSP loan payments. Your contribution allocation *will not* affect money that is already in your account.

Your contribution allocation will remain in effect until you submit a new one.

Interfund transfers. An interfund transfer moves the money *already in* your account among the TSP investment funds. When you make an interfund transfer, you choose the new percentage you want invested in each fund. You cannot move specific dollar amounts among the funds.

Also, you cannot move specific types of money among the funds. For example, if you have traditional (including tax-exempt) and Roth balances in your account,

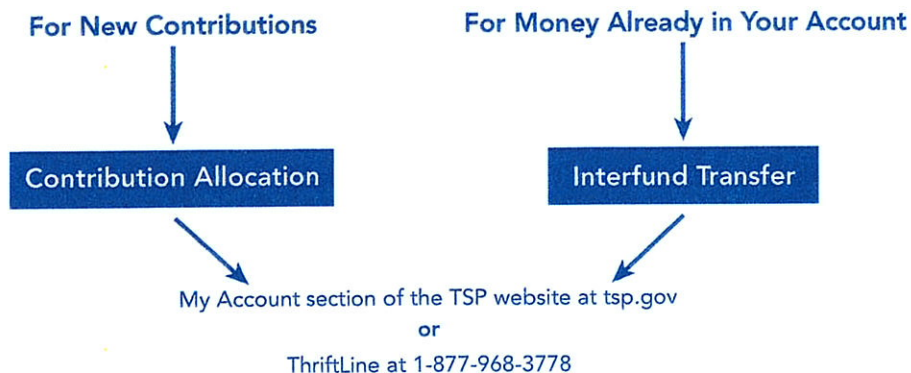
your interfund transfer will move a proportional amount from each type of money into the funds that you have specified.

Interfund transfers are not unlimited. Each calendar month, your first *two* interfund transfers *may* be used to redistribute money in your account among any of the TSP funds. After the first two, your interfund transfers can *only* move money into the Government Securities Investment (G) Fund (in which case, you will increase the percentage of your account held in the G Fund by reducing the percentage held in one or more of the other TSP funds). If you have both a civilian and a uniformed services account, these rules apply to each account separately.

Making a contribution allocation or interfund transfer. You can make either of these transactions on the TSP website or the ThriftLine (using the automated system, or by speaking to a TSP Participant Service Representative).

To make a contribution allocation or interfund transfer on the website, you will need your TSP account number (or customized user ID) and your web password. To make a contribution allocation or interfund transfer on the ThriftLine, you will need your account number and your ThriftLine PIN (or press 3 to speak to a Participant Service Representative). Contribution allocations or interfund transfers made on the TSP website or the ThriftLine before 12 noon eastern time are generally processed that business day. You will receive a confirmation of your transaction in the mail or by email, if you used the website for your transaction and chose that option.

How to Make Investment Choices for Your Account



Administrative Expenses


TSP expenses (i.e., the cost of administering the plan) include the costs of operating the TSP's recordkeeping system; providing participant services; and printing and mailing notices, statements, and publications. **You can find the current expense ratios for all of the TSP funds in the most recent edition of our newsletter, *Highlights*.**

TSP expenses are lower than the industry average. These expenses are paid primarily from the forfeitures of Agency Automatic (1%) Contributions of FERS employees who leave federal service before they are vested, other forfeitures, loan fees, and—because those forfeitures and fees are not sufficient to cover all of the TSP's expenses—earnings on participants' accounts.

The effect of administrative expenses (after forfeitures) on the earnings of the G, F, C, S, and I Funds is expressed as a net expense ratio for each fund. The expense ratio for each fund is calculated by dividing the total administrative expenses charged to that fund over a period of time by the fund's average balance during the same period.

Since the L Funds do not have any unique administrative expenses, the L Funds do not have any additional charges. Therefore, the L Fund administrative expense ratios are weighted averages of the expense ratios of the G, F, C, S, and I Funds.

Your share of TSP net administrative expenses is based on the size of your account balance. For example, if the G Fund's net expense ratio is .038%, that means your earnings are reduced by 38 cents per \$1,000 of your G Fund balance.



Costs are important in saving for your retirement. Even small differences in expenses can, over time, have a dramatic effect on a fund's performance **and** the size of your account.

TSP Loans, Withdrawals, and Refunds

Because the purpose of the TSP is for you to save money for your retirement, there are rules that restrict when and how you may take money out of your account while you are still employed.

Once you leave federal service, however, you can take your money out at any time. However, the IRS may impose an early withdrawal penalty tax on the disbursement, depending on your employment status, when you take the disbursement, and how you receive the funds.

There are three ways to get your money out of the TSP:

- A **loan**
- An **in-service withdrawal** (i.e., a withdrawal while you are still employed by the federal government)
- A **post-separation withdrawal** (i.e., a withdrawal after you separate from service)

Any loan or withdrawal you take from your account will be paid proportionally from your traditional and Roth balances, and from each TSP fund in which you have investments. (The same is true for tax-exempt contributions in your traditional and Roth balances if you are a member of the uniformed services.) For example, you cannot request a loan or withdrawal from only the taxable portion of your traditional balance that is invested in the G Fund. If you have both traditional and Roth balances and you are invested in five TSP funds, both balances and all your fund investments will be impacted by your loan or withdrawal.

Loans

Loans are available only to participants who are actively employed, who are in pay status, and who have contributed their own money to the TSP.

When you take a loan, you are borrowing your own contributions and the earnings on those contributions. When your loan is approved, the amount of the loan is removed from your TSP account. As you repay your loan, your loan repayments restore the amount of your loan, plus the interest you pay to your account.

Cost of taking a loan. You repay your loan with interest. The interest rate is the interest rate for the G Fund at the time your loan application is processed.

The TSP also charges a processing fee of \$50 for each loan. This fee is used to cover the cost of processing and servicing your loan. It is **deducted from the amount** of the loan that you receive.

Before you take a loan, consider that your loan costs are not limited to the interest and fee that you pay. The cost of a loan can be much more far-reaching.

When you borrow from your account, you miss out on the earnings that might have accrued on the money you borrowed. Even though you must pay the money back to your account with interest, the interest you pay to your account may be less than what you might have earned if you had kept the money in the TSP. Further, if you have an outstanding loan when you leave federal service, you must pay it back within 90 days or the outstanding balance will be treated as taxable income.

Types of loans. There are two types of TSP loans:

- A general purpose loan
- A loan for the purchase or construction of a primary residence

You can have only one general purpose and one residential loan outstanding at a time.

Loan amount. The total amount that you can borrow is limited to your own contributions and the earnings on those contributions. You cannot borrow less than \$1,000 or more than \$50,000. You can find out the amount you may be eligible to borrow from your TSP account by visiting the TSP website or calling the ThriftLine. You can also use the Estimate Loan Payments calculator on the TSP website to estimate your loan payment amount before you request a loan.

Documentation. You do not need to provide any type of documentation for a general purpose loan. However, you will need to provide documentation for a residential loan.

Waiting period between loans. You must wait 60 days from the time you pay off one loan until you are eligible to request another loan of the same type.

Repaying a loan. Loan repayments are made through payroll deductions. They are deducted from your pay each pay period in the amount to which you agreed. If your agency or service does not deduct your loan payment from your pay, **you must submit the loan payment directly to the TSP with Form TSP-26, TSP Loan Payment Coupon. You are responsible for your loan payments.**

You can also make additional payments or pay off your loan early by check or money order using the Loan Payment Coupon, available at tsp.gov. And you can reamortize your loan to change the amount of your payment, number of payments, or repayment period.


You must repay your general purpose loan within 5 years. Residential loans must be repaid within 15 years.

Consequences of failing to repay your loan. If you fail to repay your loan in accordance with your Loan Agreement (or your most recent reamortization), or you do not repay your loan when you separate from service, the TSP will report a taxable distribution to the IRS. You **will owe income taxes** on the taxable amount of the outstanding balance of the loan and possibly an early withdrawal penalty tax.

You **will not owe income taxes** on any part of your outstanding loan amount that consists of tax-exempt or Roth contributions. You **will owe taxes** on the earnings on tax-exempt contributions that were part of your traditional balance. The following conditions apply to Roth earnings:

- If the taxable distribution is declared because you separate from service, any **qualified Roth earnings will not be subject to tax**. Roth earnings that are not qualified will be subject to tax.
- If the taxable distribution is declared for another reason (such as a default on your loan), your **Roth earnings will be taxed, even if they were already qualified** (or eligible to be paid out tax-free).

Note: If you have two TSP accounts and you want to combine your accounts, you must close any loan in the account you are moving before the accounts can be combined.



When you default on a TSP loan, you will owe taxes for that year on the taxable amount you did not repay, including any qualified Roth earnings. Paying taxes on qualified earnings means that you have to pay taxes today on an amount that you would otherwise be entitled to receive tax-free at retirement.

Spouses' rights. If you are a married FERS or uniformed services participant, your spouse must consent to your loan by signing the Loan Agreement. If you are a married CSRS participant, your spouse will be notified of your loan. These rules apply even if you are separated from your spouse.

There are exceptions to these rights, but exceptions are rarely granted. See Form TSP-16, *Exception to Spousal Requirements* (U-16, uniformed services), for more information.


Bankruptcy and TSP loans. If you have a TSP loan, your payments must continue because, for bankruptcy purposes, a TSP loan is not a debt, and the TSP is not your creditor. Therefore, the bankruptcy court does not have jurisdiction over your TSP loan. For more information, see the TSP fact sheet *Bankruptcy Information — Petitions filed on or after October 17, 2005*. Different rules apply to bankruptcies filed prior to that date. (See the TSP fact sheet *Bankruptcy Information — Petitions filed before October 17, 2005*.)

Getting information. For a detailed explanation of the TSP loan program, your obligations if you take a loan, and the consequences of not repaying a loan, read the TSP booklet *Loans*.

For information about outstanding loans, you can check your earnings and leave statement, your participant statements, the TSP website, or the ThriftLine. You can also contact the TSP.

In-Service Withdrawals

In-service withdrawals (i.e., withdrawals from your account while you are still employed) are available to all active participants. The TSP does not charge a fee for making an in-service withdrawal. However, the overall impact on your retirement savings may be significant.



When you make an in-service withdrawal, you permanently deplete your retirement savings by the amount of the withdrawal and any future earnings you would have accrued on that money.

You must pay federal, and in some cases, state income taxes on the taxable portion of the withdrawal, and you may also be subject to a 10% early withdrawal penalty tax. More importantly, if you make a financial hardship in-service withdrawal, the overall impact can be even greater because you cannot contribute to the TSP for 6 months following your withdrawal. If you are a FERS employee, that means you will also not receive any Agency Matching Contributions during that time.

Types of in-service withdrawals. There are two types of in-service withdrawals:

- A **financial hardship** in-service withdrawal
- An **age-based** in-service withdrawal

Financial hardship in-service withdrawal. You can make a financial hardship in-service withdrawal if you can certify, under penalty of perjury, that you have a financial hardship as a result of a recurring negative cash flow, legal expenses for separation or divorce, medical expenses, or a personal casualty loss. You may withdraw only your contributions and any earnings those contributions have accrued. You can request \$1,000 or more; however, the amount that you request cannot exceed the actual amount of your certified financial hardship. Further, you may not make contributions to your account

(and if you are FERS, you will not receive the associated matching contributions) for 6 months after the disbursement of your funds.

Age-based in-service withdrawal. You can make an age-based in-service withdrawal any time after you reach age 59½, as long as you are still a civilian federal employee or a member of the uniformed services. You may withdraw part or all of your vested account balance. You can request a dollar amount of \$1,000 or more, or your entire account balance (even if it is less than \$1,000). You are permitted to make only one age-based in-service withdrawal. If you make one, you will not be eligible to make a partial withdrawal from your account after you separate from service.

Spouses' rights for in-service withdrawals. If you are a married FERS or uniformed services participant, your spouse must consent to your in-service withdrawal. If you are a married CSRS participant, the TSP must notify your spouse before an in-service withdrawal can be made. These rules apply even if you are separated from your spouse.

There are exceptions to these rights, but exceptions are rarely granted. For more information, see Form TSP-16, *Exception to Spousal Requirements* (U-16 for members of the uniformed services).

Taxes on In-Service Withdrawals

You must pay federal income taxes on the taxable portion of in-service withdrawals when they are paid directly to you. You will owe taxes on the portion of your withdrawal that comes out of your traditional balance (excluding tax-exempt contributions). You can retain the tax-deferred status of the traditional portion of your age-based withdrawal by transferring it to a traditional IRA or eligible employer plan. (You can also transfer it to a Roth IRA, but you would have to pay taxes on the transfer in the year it is made.)

You will not pay federal income taxes on the portion of your in-service withdrawal that comes from your Roth contributions, and you will only pay taxes on the earnings if they are not qualified. However, you can transfer the Roth portion of your withdrawal to a Roth IRA or a Roth account maintained by an eligible employer plan.

Financial hardship in-service withdrawals may be subject to an early withdrawal penalty tax if you are younger than age 59½ when you make your withdrawal. For more detailed information about the tax rules, see the TSP tax notice *Important Tax Information About Payments From Your TSP Account*.

Getting information. For a detailed explanation of the TSP in-service withdrawal program, read the TSP booklet *In-Service Withdrawals*. For specific information about your in-service withdrawal request, check the TSP website or the ThriftLine, or contact the TSP.

Withdrawals After You Separate

If your vested account balance is **\$200 or more** after you leave federal service, you can leave your money in the TSP until later (see page 22, “Withdrawal deadline”), or you can withdraw all or a portion of your account. If you leave your money in the TSP after you separate from service, be sure to keep your address up-to-date so that the TSP can reach you.

Any withdrawal from your account will be made up of a proportional amount of traditional (non-Roth) and Roth money.

If your vested account balance is **less than \$200** when you leave federal service, the TSP will automatically send you a check for the amount in your account. The check will be mailed to the address in your TSP account record. You cannot leave this money in the TSP or make any other withdrawal election.

Combining accounts. If you decide to leave money in the TSP after you separate from either the uniformed services or federal civilian service, you will be able to combine your TSP accounts by submitting Form TSP-65, *Request to Combine Civilian and Uniformed Services TSP Accounts*. Money that you transfer will be deposited as employee contributions into the traditional or Roth balance of the combined account based on the way it was identified in the original account.

There are restrictions about how and when accounts can be combined. For example, you can only combine the money from the account related to your separation into your other account (and if you have a loan in the account you are moving, you must close it before you can combine your accounts). Also, tax-exempt contributions (i.e., contributions from combat zone pay) in your uniformed services TSP account may not be transferred to your civilian TSP account unless they are part of your

Roth balance. Tax-exempt contributions that are part of your traditional (non-Roth) balance must remain in your uniformed services account.

Types of post-separation withdrawals. There are two types of post-separation withdrawals:


- A **partial withdrawal**
- A **full withdrawal**

Partial withdrawal. You can take out \$1,000 or more and leave the rest in your account until you decide to withdraw it at a later date. You may make only one partial withdrawal from your account. If you made an age-based in-service withdrawal, you are not eligible for a partial withdrawal.

Full withdrawal. You choose how your entire account will be distributed using one—or any combination—of three withdrawal options available to you:

- A **single payment**
- A series of **TSP monthly payments**
- A **life annuity purchased for you by the TSP**

A **single payment** allows you to withdraw your entire TSP account at one time in one payment. It is sometimes referred to as a “lump sum.”



If you're considering TSP monthly payments or an annuity, you should compare these benefits to see which one best fits your situation. You can get help by using the calculators on the TSP website.

TSP monthly payments allow you to withdraw your entire account in a series of payments that will be paid to you each month from your TSP account. You can ask for a specific dollar amount each month or you can have the TSP calculate a monthly payment based on your life expectancy. If you choose a specific dollar amount, it must be at least \$25.

At any time while you are receiving monthly payments, you can ask the TSP to stop the monthly payments and pay you your remaining account balance in a single payment. Also, once a year, you have the opportunity to make changes to the dollar amount of the monthly payments you are receiving. You also have the opportunity to make a one-time switch to receiving monthly payments based on a dollar amount rather than monthly payments based on life expectancy.

An **annuity** pays a benefit to you (or to your survivor) every month for life. The TSP purchases the annuity on your behalf from a private insurance company. You can have the TSP purchase an annuity with all or any portion of your account balance when you request a full withdrawal. In general, the amount you use for the purchase of an annuity must be \$3,500 or more.

Once a life annuity is purchased, it cannot be changed.

If you choose a life annuity and you have only one type of balance (traditional or Roth) in your TSP account, you must have at least \$3,500 in your account at the time your annuity is purchased. If you are using only a portion of your account for an annuity, the percentage you choose when requesting your withdrawal must equal \$3,500 or more of your vested account balance.

If you choose a life annuity and you have both a traditional balance and a Roth balance in your TSP account, the minimum threshold of \$3,500 applies to **each balance separately**. You may choose to purchase an annuity as long as you have \$3,500 in either your traditional or Roth balance. The TSP will purchase **two** of the same type of annuity (one with the traditional balance and one with the Roth balance). You cannot choose different annuities for each type of balance.

Also, the following rules apply:

- **If you choose to use 100% of your TSP account to purchase an annuity** and both balances are below \$3,500, your withdrawal form will be rejected. If you have both a traditional balance and a Roth balance and at least one of the balances is at least \$3,500, the TSP will purchase an annuity with the balance that is at least \$3,500 and pay the other balance directly to you as a cash payment.
- Alternatively, **if you choose an annuity as part of a mixed withdrawal**, any amount(s) that cannot be used to purchase the requested annuity will be split proportionally and distributed according to the other withdrawal option(s) you have chosen.

You have a choice of three basic annuity types:

- A single life annuity—paid only to you during your lifetime.

- A joint life annuity with your spouse—paid to you while you and your spouse are alive. When one of you dies, payments are made to the survivor for the rest of his or her life.
- A joint life annuity with someone (other than your spouse) who has an insurable interest in you—paid to you while you and the person you choose are alive. When one of you dies, payments are made to the survivor for his or her life.

If you elect a joint annuity, you may be able to choose between a 50% or 100% payment option to the survivor.

Some additional annuity features may also be available, depending on the basic annuity type you choose. You may be able to request “cash refund,” “10-year certain,” or “increasing payment” features. The available annuities and their features are explained in detail in the booklet *Withdrawing Your TSP Account After Leaving Federal Service*.

Spouses’ rights for a partial withdrawal. If you are a married FERS or uniformed services participant, your spouse must consent to your partial withdrawal. If you are a married CSRS participant, the TSP must notify your spouse before a partial withdrawal can be made.

Spouses’ rights for a full withdrawal. If your vested account balance at the time of your full withdrawal is more than \$3,500, your withdrawal will be subject to federal law regarding spouses’ rights. These rules apply even if you are separated from your spouse:

- If you are a married FERS or uniformed services participant, your spouse is entitled to an annuity with a 50% survivor benefit, level payments, and no cash refund feature. Your spouse must waive the right to this particular annuity unless you use your entire account balance to purchase it.
- If you are a married CSRS participant, the TSP must notify your spouse before it can process your withdrawal, regardless of which withdrawal option you choose.

For both partial and full withdrawals, there are exceptions to these rights. However, the conditions under which an exception is made are very limited. More information about exceptions is provided on Form TSP-16 (TSP-U-16 for members of the uniformed services), *Exception to Spousal Requirements*.

Taxes on Withdrawals After You Separate

You must pay federal income taxes on the taxable portion of withdrawals when they are paid directly to you. You will owe taxes on the portion of your withdrawal that comes out of your traditional balance (excluding tax-exempt contributions). You can retain the tax-deferred status of the traditional portion of your withdrawal by transferring it to a traditional IRA or eligible employer plan. (You can also transfer it to a Roth IRA, but you would have to pay taxes on the transfer in the year it is made.)

You will not pay federal income taxes on the portion of your withdrawal that comes from your Roth contributions, and you will only pay taxes on the earnings if they are not qualified. However, you can transfer the Roth portion of your withdrawal to a Roth IRA or a Roth account maintained by an eligible employer plan.

Depending on your age when you leave federal service, as well as your withdrawal option and its timing, you may be subject to the IRS early withdrawal penalty tax. For detailed information about the tax rules that apply to post-separation withdrawals, you should read the TSP tax notice *Important Tax Information About Payments From Your TSP Account* and consult with your tax advisor.

Getting information. For a detailed explanation of the TSP's post-separation withdrawal program, read the booklet *Withdrawing Your TSP Account After Leaving Federal Service*. For specific information about your withdrawal request, check the TSP website or the ThriftLine, or contact the TSP.

Withdrawal deadline. If you are separated from federal service or the uniformed services, you are required to make a withdrawal choice for your TSP account balance by April 1 of the year following the year you turn age 70½.

However, if you are still employed at age 70½, your required withdrawals must begin by April 1 of the year following the year you separate from federal service or the uniformed services.

If you do not withdraw (or begin withdrawing) your account by the required withdrawal deadline, your account balance will be forfeited to the TSP. You can reclaim your account; however, you will not receive earnings on your account from the time the account was forfeited.

IRS Required Minimum Distribution. At the same deadline, you will also be subject to the IRS required minimum distribution rules. These rules require you to receive a certain portion of your account each year based on your life expectancy. The TSP will send you information about these rules if they apply to you.

For more information about the withdrawal deadline and the IRS required minimum distribution rules, you can read the TSP tax notice *Important Tax Information About Your TSP Withdrawal and Required Minimum Distributions*.

IRS Required Minimum Distributions

(RMDs): You cannot request a payment of your RMD because that is not one of the statutory TSP withdrawal options. However, if you choose monthly payments based on life expectancy, the total dollar amount of your annual payments will approximate your RMD. If your monthly payments are not sufficient to meet your RMD for the year, the TSP will send you a supplemental payment.

Automatic Enrollment Refunds

If you were automatically enrolled in the TSP, you may request a refund of the **employee** contributions (plus earnings or minus losses) associated with the automatic enrollment period. If you make a contribution election to change your automatic contributions in any way, you are no longer in the "automatic enrollment period," and you can therefore not request a refund of contributions you made after the change.

Your request must be made within 90 days of your first automatic enrollment contribution. To determine your refund deadline date, you may contact the TSP at 1-877-968-3778 and choose option 3 to speak to a Participant Service Representative.

You will receive a refund of your own employee contributions (and earnings). If you are FERS, you will forfeit all Agency Matching Contributions to the TSP when your refund is processed; however, your Agency Automatic (1%) Contributions will remain in your account. Read the instructions on Form TSP-25, *Automatic Enrollment Refund Request*, for more information. See the TSP website for the form and additional information about automatic enrollment.

Please note that requesting a refund of your automatic employee contributions will not **stop** your agency from deducting future contributions from your pay each pay period. If you also want to stop your automatic contributions, you must make a contribution election (see page 2) to stop your contributions.

Special note for participants automatically enrolled more than once (i.e., separating and being rehired after a break in service of more than 30 days): Under rules mandated by the IRS, you are not given a new 90-day refund period unless one full calendar year (January through December) has passed since your last automatic enrollment contribution.

Death Benefits

In the event of your death, your account will be distributed to the beneficiary or beneficiaries you designate on Form TSP-3, *Designation of Beneficiary*.⁸ If you do not designate beneficiaries to receive your account, it will be disbursed according to the following order of precedence required by law:

1. To your spouse
2. If none, to your child or children equally, with the share due any deceased child divided equally among that child's descendants
3. If none, to your parents equally or to your surviving parent

⁸ **Exception:** If you separate from service and submit a Form TSP-70, *Request for Full Withdrawal*, requesting an annuity and you die before annuity payments begin, the amount used to purchase the annuity will be returned to the TSP. The TSP will, if possible, distribute this money consistent with your annuity beneficiary designation.


4. If none, to the appointed executor or administrator of your estate
5. If none, to your next of kin who is entitled to your estate under the laws of the state in which you resided at the time of your death

As used here, "child" means either a biological child or a child adopted by the participant. It does not include your stepchild unless you have adopted the child. Nor does it include your biological child if that child has been adopted by someone other than your spouse.

"Parents" does not include stepparents who have not adopted you.

A will or any other document (such as a prenuptial agreement) is not valid for the disposition of your TSP account.

Designating a beneficiary. If you wish, you can designate a person or persons, your estate, or a trust to receive your TSP account after your death. To designate a beneficiary or beneficiaries, you **must** use Form TSP-3, *Designation of Beneficiary*. **The completed form must be properly signed, witnessed, and received by the TSP on or before the date of your death.**



Determine if you need to submit a *Designation of Beneficiary* (Form TSP-3), and review it when your personal situation changes. Otherwise, in the event of your death, the money in your account may not be distributed according to your wishes.

Reviewing your beneficiaries. By law, the TSP must pay your properly designated beneficiary under **all** circumstances. For example, if you designate your spouse as a beneficiary on Form TSP-3, a beneficiary participant account will be set up for that spouse after your death, even if you are separated. If you divorce (and even remarry) but you do not submit a new Form TSP-3, your TSP account will be paid to the individual designated on your form, even if this person had given up all rights to your TSP account. Consequently, if your life situation changes, you may want to file a new *Designation of Beneficiary* form that cancels or changes your current beneficiary designation.

TSP distribution of death benefits. In order for beneficiaries to receive your account balance after your death, they (or their representatives) must complete Form TSP-17, *Information Relating to Deceased Participant*, and send it to the TSP along with a copy of the certified death certificate.

Once the TSP processes this information and determines the beneficiaries for your account, we will contact them with additional information and instructions.

For detailed information about death benefits and the disbursement options for beneficiaries, read the TSP booklet *Death Benefits* and the TSP tax notice *Important Tax Information About Thrift Savings Plan Death Benefit Payments*.

Beneficiary Participant Accounts

In the event of your death, if your spouse is a beneficiary of your account and your spouse's share is \$200 or more, a "beneficiary participant" account will be established in your spouse's name. Any death benefit processed from your account for your spouse will be deposited into this TSP account and invested in the Lifecycle (L) Fund targeted most closely to the year your spouse turns 62 or the L Income Fund if he or she is age 62 or older. Your spouse can leave the money in the TSP and manage the investments in the TSP's funds, combine the account with his or her own TSP account, if applicable, or withdraw the money using any of the TSP post-separation withdrawal options described on page 20.

For more information, see *Your TSP Account: A Guide for Beneficiary Participants*, which is available on the TSP website.

Other Information About the TSP

TSP Website (tsp.gov)

The TSP website has current TSP information and materials (e.g., forms, rates of return, share prices, and calculators). TSP participants can use their TSP account number or customized user ID and web password to view personal account information and perform transactions.

ThriftLine

The toll-free ThriftLine (1-877-968-3778) is the TSP's automated telephone service. It has information such as Plan News, share prices, and loan and annuity rates. You can opt to speak with a Participant Service Representative or you can use your TSP account number and ThriftLine PIN to access your account and perform certain transactions.

Account Security

The TSP takes many steps to keep your account secure. We provide you with a TSP account number and the opportunity to create a customized user ID to use instead of your account number. The TSP also provides you with a customizable web password and ThriftLine PIN. It is important that you do your part to protect your account by keeping these numbers secure. Do not reveal them to anyone or store them where anyone can find them.

TSP account number. The TSP provides you with a 13-digit account number that you must use to identify your account. Use this number when accessing your account on the TSP website or the ThriftLine or when filling in TSP forms. Like a bank or credit union account number, your TSP account number cannot be changed. If you forget it, you can use the TSP website or the ThriftLine to request to have it mailed to you. You can also find your account number on your quarterly and annual participant statements.

Customized user ID. If you find it difficult to remember your TSP account number when logging into your account in the My Account section of the TSP website, you can create your own customized user ID. However, to create your user ID, you will first need to log into My Account with your TSP account number and web password. Once you have established your user ID, you can change it whenever you wish. Instructions are available on the TSP website. If you forget your user ID, you can enter My Account with your TSP account number and web password and create a new user ID. You cannot use your customized user ID on the ThriftLine.

If you have both a civilian and a uniformed services account, you may use the same or different customized user ID for both accounts.

Web password. As soon as your account is established, the TSP mails you a web password to use with your TSP account number (or customized user ID) when you log into the My Account section of the TSP website or when you contact the TSP. When you log into your account for the first time using this password, you will be prompted to change it to one of your choice. If you lose your web password, you can request a new one from the My Account section of the TSP website or receive one immediately by calling the ThriftLine and choosing option 3 to speak to a Participant Service Representative.

ThriftLine Personal Identification Number (PIN). As soon as your account is established, the TSP mails you a PIN to use with your TSP account number to access account information and perform certain transactions on the ThriftLine. You can change your PIN at any time on the ThriftLine. To do so, you must first enter your TSP account number and existing PIN. If you forget your PIN, you can request a new one on the ThriftLine or by contacting the TSP. **Note:** Your ThriftLine PIN is not the same as PINs for other agency or service systems (e.g., Employee Express, EBIS, LiteBlue, myPay, or NFC PPS).

Access to PINs: Your ThriftLine PIN is encrypted in the TSP system and is not accessible to TSP representatives. For security reasons, the TSP will only mail your PIN to your address of record. The TSP will not send it through email.

Participant Statements

The TSP issues quarterly statements in January, April, July, and October, and annual statements for each year in February.

Your quarterly statements cover all transactions in your account during the previous three months. If you have any TSP loans, the statement also summarizes your loan activity. You can view or print these statements on the TSP website or request to have them mailed to you.

Your annual statement summarizes the financial activity in your account for that year and provides other important information such as your personal investment performance. The TSP posts this statement on the web and, unless you request only electronic annual statements, also mails it to you.

Check your statements carefully, and, if you see any information you believe is not correct, follow up with your agency or service or the TSP.

Keep your address and other personal information up-to-date.

If currently employed: Contact your agency or service.

If separated: Update your address through the My Account section of the TSP website, use Form TSP-9, *Change in Address for Separated Participant*, or call the TSP. For other changes or corrections after you separate, contact the TSP.

Court Orders and Legal Processes

Your TSP account can be divided in an action for divorce, annulment, or legal separation, or garnished to satisfy a legal processes associated with past-due alimony, child support obligation, IRS tax levy, or victims restitution pursuant to the Mandatory Victims Restitution Act (MVRA). For more details, read the TSP booklet *Court Orders and Powers of Attorney* and the TSP tax notice *Tax Treatment of Thrift Savings Plan Payments Made Under Qualifying Orders*.

TSP Administration

Management. The Federal Retirement Thrift Investment Board (Agency) is an independent government agency that administers the TSP. It is managed by a presidentially appointed five-member Board and an Executive Director chosen by the Board.

The Agency's recordkeeper handles the day-to-day maintenance and administration of all TSP accounts and assists participants with specific types of TSP-related problems or questions.

Law. The TSP is established under the Federal Employees' Retirement System Act of 1986 and is codified primarily under Chapter 84 of title 5, United States Code (USC). By law, the assets in the TSP are held in trust for each individual participant. The TSP is treated as a qualified trust which is exempt from taxation (see 26 USC § 7701(j)). Its regulations are published in Chapter VI of title 5 of the Code of Federal Regulations.

Audits. By law, the TSP must be audited annually. You can obtain a copy of the most current audited financial statement from the TSP website or by writing to the TSP.

Glossary of Terms

Account Balance—The sum of the dollar amounts in each TSP investment fund for an individual account. The dollar amount in each investment fund on a given day is the product of the total number of shares in that fund multiplied by the share price for that fund on that day.

Account Number—The 13-digit number that the TSP assigns to a participant to identify his or her TSP account. The participant must use this TSP account number (or a customized user ID) in conjunction with his or her web password to log into the My Account section of the TSP website, and must use this number with his or her Personal Identification Number (PIN) to access his or her account on the ThriftLine.

Active Investing—A strategy of buying and selling securities based on an evaluation of the factors that affect the price of the security, such as the economy, political environment, industry trends, currency movements, etc. The objective of an active investment strategy is to outperform the market as measured by a benchmark index such as the S&P 500.

Agency Automatic (1%) Contributions—Contributions equal to 1% of basic pay each pay period, contributed to a FERS participant's TSP account by his or her agency.

Agency Matching Contributions—Contributions made by agencies to TSP accounts of FERS employees who contribute their own money to the TSP. CSRS employees and members of the uniformed services do not receive matching contributions.

Annual Additions (Section 415(c)) Limit—An annual dollar limit, established under Internal Revenue Code (IRC) section 415(c), that limits the amount of money that can be contributed to employer-sponsored plans like the TSP. This limit is per employer and includes all employee and agency contributions. For 415(c) purposes, working for multiple federal agencies or services in the same year is considered having one employer.

Annuity—Guaranteed monthly income for the life of the TSP participant (or survivor if a joint annuity) after separating from federal service. These payments are issued directly by the TSP annuity provider.

Automatic Enrollment—Applies to FERS and CSRS employees hired or rehired after July 31, 2010. As a result of the Thrift Savings Plan Enhancement Act of 2009, Public Law 111-31, signed into law on June 22, 2009, agencies must enroll their newly hired FERS employees in the TSP. They must also automatically enroll rehired FERS and CSRS employees who have had a break in service of more than 30 days. Automatic enrollment contributions are deducted from employees' pay at a rate of 3% of basic pay per pay period and deposited into their TSP accounts. Automatically enrolled participants may make a contribution election at any time to change or stop their TSP contributions.

Basic Pay (Civilian)—This pay is defined in 5 United States Code (USC) 8331(3).

Basic Pay (Uniformed Services)—This refers to compensation payable under sections 204 and 206 of USC title 37. Section 204 pay is pay for active duty; section 206 pay (e.g., inactive duty for training (IDT) pay) is pay earned by members of the Ready Reserve (including the National Guard).

Beneficiary Participant Account—TSP account established in the name of a spouse beneficiary of a deceased TSP participant.

Bond—A debt security issued by a government entity or a corporation to an investor from whom it borrows money. The bond obligates the issuer to repay the amount borrowed (and, traditionally, interest) on a stated maturity date.

Bonus Pay (Uniformed Services)—Generally, a type of special pay with its own rules for TSP contribution election purposes.

Catch-Up Contributions—Contributions that are made via payroll deductions by a participant age 50 or older and are permitted to exceed the Internal Revenue Code (IRC) elective deferral limit.

Catch-Up Contribution Limit—An annual dollar limit, established under Internal Revenue Code (IRC) section 414(v), that limits the amount of catch-up contributions that a participant age 50 or older can make to employer-sponsored plans like the TSP. It is separate from the elective deferral limit imposed on regular employee contributions.

Civil Service Retirement System (CSRS)—The term "CSRS" refers to the retirement system for federal civilian employees who were hired before January 1, 1984. CSRS refers to the Civil Service Retirement System, including CSRS Offset, the Foreign Service Retirement and Disability System, and other equivalent government retirement plans.

Contribution—A deposit made to the TSP by a participant through payroll deduction or on behalf of the participant by his or her agency or service.

Contribution Allocation—A participant's choice that tells the TSP how contributions, rollovers, and loan payments that are going into his or her account should be invested among the TSP funds.

Contribution Election—A request by a participant to start contributing to the TSP, to change the amount of his or her contribution to the TSP each pay period, or to terminate contributions to the TSP.

Credit Risk—The risk that a borrower will not make a scheduled payment of principal and/or interest.

Currency Risk—The risk that the value of a currency will rise or fall relative to the value of other currencies. Currency risk could affect investments in the I Fund because of fluctuations in the value of the U.S. dollar in relation to the currencies of the more than 20 countries in the EAFE index.

Customized User ID—A combination of letters, numbers, and/or symbols that you can create to use instead of your TSP account number to log into the My Account section of the TSP website. The user ID cannot be used on the ThriftLine as a substitute for the account number.

Designation of Beneficiary—The participant's formal indication of who should receive the money in his or her account in the event of his or her death. Participants must use Form TSP-3, *Designation of Beneficiary*. (A will is not valid for the disposition of a participant's TSP account.)

Disburse—To pay out money, as from the TSP.

Elective Deferral Limit—An annual dollar limit, established under the Internal Revenue Code (IRC) section 402(g), that limits the tax-deferred contributions and Roth contributions a participant can elect to make to employer-sponsored plans like the TSP. The limit can change each year.

Eligible Employer Plan—A plan qualified under Internal Revenue Code (IRC) § 401(a), including a § 401(k) plan, profit-sharing plan, defined benefit plan, stock bonus plan, and money purchase plan; an IRC § 403(a) annuity plan; an IRC § 403(b) tax-sheltered annuity; and an eligible IRC § 457(b) plan maintained by a government employer.

Federal Employees' Retirement System (FERS)—The term "FERS" refers to the retirement system for federal civilian employees who were hired on or after January 1, 1984. FERS refers to the Federal Employees' Retirement System, the Foreign Service Pension System, and other equivalent government retirement plans.

Fixed Income Investments—Generally refers to bonds and similar investments (considered debt instruments) that pay a fixed amount of interest.

Full Withdrawal—A post-separation withdrawal of a participant's entire TSP account through an annuity, a single payment, or TSP monthly payments (or a combination of these three options).

Incentive Pay (Uniformed Services)—Pay set forth in Chapter 5 of USC title 37 (e.g., flight pay, hazardous duty pay).

Index—A broad collection of stocks or bonds which is designed to match the performance of a particular market. For example, the Standard & Poor's 500 (S&P 500) is an index of large and medium-sized U.S. companies.

Index Fund—An investment fund that attempts to track the investment performance of an index.

Inflation Risk—The risk that investments will not grow enough to offset the effects of inflation.

In-Service Withdrawal—A disbursement made from a participant's account which is available only to a participant who is still employed by the federal government, including the uniformed services.

Interfund Transfer (IFT)—An IFT allows the participant to redistribute all or part of his or her money already in the TSP among the different TSP funds. For each calendar month, the participant's *first two* IFTs can redistribute money in his or her account among any or all of the TSP funds. After that, for the remainder of the month, the participant's IFTs can *only* move money into the Government Securities Investment (G) Fund (in which case, the participant will increase the percentage of his or her account held in the G Fund by reducing the percentage held in one or more of the other TSP funds). An IFT does not change the way new contributions, transfers or rollovers into the TSP, or loan payments are invested.

Investment Allocation—A participant's choice that tells the TSP (1) how money going into his or her account should be invested in the TSP funds (contribution allocation), and/or (2) how money already in the TSP account should be invested in the TSP funds (interfund transfer). An investment allocation can be made on the TSP website in My Account, or by calling the toll-free ThriftLine at 1-877-968-3778. (See "Contribution Allocation" and "Interfund Transfer.")

IRS Life Expectancy Tables—When you withdraw your account, if you choose to have the TSP calculate monthly payments based on life expectancy, the TSP will use these tables. IRS Single Life Table, Treas. Reg. § 1.401(a)(9)-9, Q&A 1, is used for participants who are under age 70 on or after July 1 of the calendar year in which the calculation is made. For participants who turn age 70 before July 1 of that year, the Uniform Lifetime Table, Treas. Reg. § 1.401(a)(9)-9, Q&A 2, is used.

Market Risk—The risk of a decline in the market value of stocks or bonds.

Matching Contributions—See "Agency Matching Contributions."

Mixed Withdrawal—A post-employment withdrawal of a participant's entire account through any combination of the following: an annuity, a single payment, or TSP monthly payments.

Monthly Payments—See "TSP Monthly Payments."

My Account—The secure section of the TSP website, where you can log into your account to find out your account balance and perform certain transactions.

Nonpay Status—Actively employed by the federal government or uniformed services but not receiving regular pay because of furlough, suspension, leave without pay (including leave without pay to perform military service), or pending resolution of a grievance or appeal.

Partial Withdrawal—A one-time post-employment distribution of part of a participant's account balance that can be taken if the participant did not make an age-based in-service withdrawal while employed by the federal government or the uniformed services. A partial withdrawal is participant-elected and is made in a single payment.

Participant Statements—Statements that are furnished to each TSP participant after the end of each calendar quarter and after the end of each calendar year. Quarterly statements show the participant's account balance (in both dollars and shares) and the transactions in his or her account during the quarter covered. Annual statements summarize the financial activity in the participant's account during the year covered and provide other important account data such as the participant's personal investment performance and an account profile.

Passive Investing—Generally, buying and holding a portfolio of securities designed to replicate a broad market index. Passive strategies are based on the assumption that it is impossible to accurately forecast future trends in securities prices over long periods of time. Management fees and trading costs are generally lower in passively managed index funds.

Password—A code made up of letters and numbers that a TSP participant uses in conjunction with his or her TSP account number (or customized user ID) whenever accessing his or her account through the TSP website. For new participants, the initial password is computer-generated and is sent to the participant shortly after his or her first contribution is received by the TSP. Participants will be prompted to customize their passwords when they log into their accounts for the first time.

Pay Status—Actively employed by the federal government or uniformed services and receiving regular pay.

Personal Identification Number (PIN)—A number that the participant can use (in conjunction with his or her TSP account number) to access his or her own account on the ThriftLine. The initial PIN is computer-generated and is sent to the participant shortly after the participant's first contribution is received by the TSP.

Post-Separation Withdrawal—A distribution from a participant's account that is available only to participants who have left federal service or the uniformed services. Sometimes referred to as a "post-employment" withdrawal. (See also "Withdrawal.")

Prepayment Risk—The probability that as interest rates fall, bonds that are represented in the index will be paid back early, thus forcing lenders to reinvest at lower rates.

Qualified Earnings—Earnings on Roth contributions that are eligible to be paid out tax-free at withdrawal. Earnings are considered "qualified" as long as the following two requirements are met: (1) it has been 5 years since January 1 of the calendar year the participant made the first Roth TSP contribution AND (2) the participant is at least age 59½, permanently disabled (or deceased).

Reamortize—Adjust the terms of a loan to change the loan payment amount or to shorten or lengthen the repayment period.

Required Minimum Distribution—The amount of money, based on a participant's age and previous year's TSP account balance, that the IRS requires be distributed to a participant each year after the participant has reached age 70½ and is separated from service.

Risk (Volatility)—The amount of change (both up and down) in an investment's value over time.

Roth Balance—The portion of your TSP account made up of Roth (after-tax) contributions and accrued earnings. Portions of this balance may have originated from tax-exempt pay.

Roth Contributions—Contributions from pay that has already been taxed (or from tax-exempt pay) and that has been deposited to a Roth balance.

Roth IRA—An individual retirement account that is described in § 408A of the Internal Revenue Code (IRC). A Roth IRA provides tax-free earnings. You must pay taxes on the funds you transfer from your traditional balance to a Roth IRA; the tax liability is incurred for the year of the transfer.

Securities—A general term describing a variety of financial instruments, including stocks and bonds.

SIMPLE IRA—Savings Incentive Match Plan for Employer, an employer-sponsored retirement plan available to small businesses. A TSP participant can transfer money from a SIMPLE IRA to the TSP, as long as he or she participated in the SIMPLE IRA for at least two years. However, a participant cannot transfer an amount from a TSP account into a SIMPLE IRA.

Single Payment—A payment made at one time. Sometimes referred to as a "lump sum."

Special Pay (Uniformed Services)—Pay set forth in Chapter 5 of United States Code (USC) title 37 (e.g., medical and dental officer pay, hardship duty pay, career sea pay).

Stocks—Equity securities issued as ownership in a publicly held corporation.

Tax-Exempt Contributions—Contributions that can be made to the TSP by members of the uniformed services from pay that is covered by the combat zone tax exclusion.

ThriftLine—The TSP's automated voice response system. It provides general news about the TSP and allows participants to access certain information and perform some transactions over the telephone. You can also use the ThriftLine to contact Participant Service Representatives at the TSP. To access your account through the ThriftLine, you will need your TSP account number and ThriftLine PIN.

Time Horizon—The investment time you have until you need to use your money.

Traditional Balance—The portion of your TSP account made up of your pre-tax (and any tax-exempt) TSP contributions, plus agency contributions, and accrued earnings.

Traditional Contributions—Contributions from pay that has not yet been taxed. Also referred to as “tax-deferred,” “pre-tax,” or “non-Roth” contributions. Traditional contributions also include contributions to a traditional balance from tax-exempt pay earned in a combat zone.

Traditional IRA—A traditional individual retirement account described in § 408(a) of the Internal Revenue Code (IRC), or an individual retirement annuity described in IRC § 408(b). It does not include a Roth IRA, a SIMPLE IRA, or a Coverdell Education Savings Account (formerly known as an education IRA.)

TSP Monthly Payments—Payments that the participant elects to receive each month from his or her TSP account after separating from service. (Note: In this case, money remains in the TSP account and is paid out directly from the account.)

Uniformed Services—Uniformed members of the Army, Navy, Air Force, Marine Corps, Coast Guard, Public Health Service, and the National Oceanic and Atmospheric Administration serving on active duty, and members of the Ready Reserve or National Guard of those services in any pay status.

User ID—See “Customized User ID.”

Vesting—For a FERS participant, the time in service that he or she must have upon separation from service in order to be entitled to keep Agency Automatic (1%) Contributions and associated earnings. A participant is vested in (entitled to keep) the Agency Automatic (1%) Contributions in his or her account after completing 3 years of federal service (2 years for most FERS employees in congressional and certain noncareer positions).

Volatility—See “Risk.”

Withdrawal—A general term for a distribution that a participant requests from his or her account. (Includes in-service withdrawal, partial withdrawal, full withdrawal, etc.)

Appendix: Getting More Information

TSP forms and materials are available from the Forms & Publications section of the **TSP website at [tsp.gov](https://www.tsp.gov)**, from your agency or service, or from the toll-free **ThriftLine at 1-877-968-3778** or the **TDD at 1-877-847-4385**. (Callers outside the U.S. and Canada who cannot use the toll-free numbers should call 404-233-4400.)

Topic	Where to get information	How to do it	Whom to contact if you are:	
			An active participant	A separated participant
Account balance	TSP website, ThriftLine, quarterly or annual participant statement	Use My Account (tsp.gov) or access your account on the ThriftLine	TSP	TSP
Account number	Summary p. 24	Use My Account (tsp.gov) or contact participant service rep.	TSP	TSP
Address (change of)	Summary p. 25	Active participants: Contact your agency or service Separated participants: My Account (tsp.gov), Form TSP-9, or the TSP	Your agency or service	TSP
Annuity	Summary p. 21; Web Calculator; TSP Booklet, <i>Withdrawing Your TSP Account After Leaving Federal Service</i>	Use appropriate sections of Form TSP-70	TSP	TSP before purchase; annuity vendor afterwards
Bankruptcy	Fact Sheet, <i>Bankruptcy Information</i>		Your agency or service	TSP
Basic annuity for FERS and CSRS employees	Your personnel office or the Office of Personnel Management (opm.gov)		Your Personnel or Benefits Office	Office of Personnel Management
Basic annuity for the uniformed services	Your service		Your service	Your service
Beneficiary participant accounts	TSP website; TSP Booklet, <i>Your TSP Account: A Guide for Beneficiary Participants</i>		TSP	TSP
Combining a uniformed services and a civilian TSP account	See information and instructions on Form TSP-65	Use Form TSP-65	TSP	TSP
Contribution allocations	Summary p. 15; information and instructions on the TSP website	Use My Account (tsp.gov) or ThriftLine Account Access	TSP	TSP
Contribution limits	Summary p. 5; Web Calculator, <i>How Much Can I Contribute?</i> ; Fact Sheet, <i>Annual Limit on Elective Deferrals</i>		Your agency or service	
Contributions	Summary p. 3; information and instructions on Form TSP-1 (TSP-U-1)	Use Form TSP-1 (TSP-U-1) or your agency's or service's electronic version	Your agency or service	
Contributions (catch-up)	Summary p. 3; Fact Sheet, <i>Catch-Up Contributions</i>	Use Form TSP-1-C (TSP-U-1-C) or your agency's or service's electronic version	Your agency or service	
Court orders and legal processes	TSP Booklet, <i>Court Orders and Powers of Attorney</i> ; Tax Notice, <i>Tax Treatment of TSP Payments Made Under Qualifying Orders</i>	Send qualifying order to the TSP to begin process	TSP	TSP
Customized user ID	Summary p. 25	Use My Account (tsp.gov)	TSP	TSP
Death benefits	TSP Booklet, <i>Death Benefits</i> ; Tax Notice, <i>Important Tax Information About TSP Death Benefit Payments</i>	Use Form TSP-17, <i>Information Relating to Deceased Participant</i>	Your agency or service or the TSP	TSP

Appendix: Getting More Information (continued)

Topic	Where to get information	How to do it	Whom to contact if you are:	
			An active participant	A separated participant
Designation of beneficiary	TSP Booklet, <i>Death Benefits</i> ; info and instructions on Form TSP-3	Use Form TSP-3, <i>Designation of Beneficiary</i>	TSP	TSP
Fund information for TSP funds	Summary pp. 11–14; Fund Information sheets (web)		TSP	TSP
In-service withdrawals	Summary p. 19; TSP Booklet, <i>In-Service Withdrawals</i> ; Tax Notice, <i>Important Tax Information About Payments From Your TSP Account</i>	Use My Account (tsp.gov) or Form TSP-75 for age-based withdrawal; Form TSP-76 for financial hardship withdrawal	TSP	
Interfund transfers	Summary p. 15; information and instructions on the TSP website	Use My Account (tsp.gov) or access your account on the ThriftLine	TSP	TSP
Loan payments	Summary p. 18; TSP Booklet, <i>Loans</i> ; Fact Sheet, <i>Effect of Nonpay Status on Your TSP Account</i> ; Web Calculator, <i>Loans</i>	For payments in addition to those made by your agency or service, use the TSP's <i>Loan Payment Coupon</i> (Form TSP-26)	Your agency or service or the TSP	
Loans (general)	TSP Booklet, <i>Loans</i>	Use My Account (tsp.gov) or Form TSP-20	TSP	
Name changes	TSP website	Separated participants only: Use Form TSP-15; Active participants: Your agency or service	Your agency or service	TSP
Participant statements (quarterly and annual)	Summary p. 25; Leaflet, <i>How to Read Your Quarterly TSP Participant Statement</i> ; Leaflet, <i>How to Read Your Annual TSP Participant Statement</i>	Obtain a copy from My Account on the TSP website, or use the web to request mailed quarterly statements or web-only annual statements	Agency or service for personal, contribution, and loan payment info.; the TSP for other info.	TSP
Password	Summary p. 25	Use My Account (tsp.gov) or contact Participant Service Rep.	TSP	TSP
Personal Identification Number (PIN)	Summary p. 25	Use ThriftLine Account Access or contact Participant Service Representative	TSP	TSP
Required minimum distributions (RMD)	Tax Notice, <i>Important Tax Information About Your TSP Withdrawal and Required Minimum Distributions</i>		TSP	TSP
Shares/share prices	Fact Sheet, <i>Your Shares in the TSP Funds</i>	Obtain current prices from web or ThriftLine; web for historical share prices		
ThriftLine	Web/ThriftLine Information Card	1-877-968-3778 TDD: 1-877-847-4385		
Transfers into the TSP	Summary pp. 9-10; info. and instructions on Form TSP-60/60-R	Use Form TSP-60 or TSP-60-R	TSP	TSP
Website	Web/ThriftLine Information Card	tsp.gov	TSP	TSP
Withdrawals after you leave service	TSP Booklet, <i>Withdrawing Your TSP Account After Leaving Federal Service</i> ; Tax Notice, <i>Important Tax Information About Payments From Your TSP Account</i>	Use My Account (tsp.gov) or use Form TSP-70 for a full withdrawal; for a partial withdrawal, use Form TSP-77	TSP	TSP
Withholding on in-service and post-separation withdrawals	Tax Notice, <i>Important Tax Information About Payments From Your TSP Account</i>	Use Withdrawal Form	TSP	TSP

Contact Information

There are numerous sources of information about the Thrift Savings Plan.

The most up-to-date information about the Plan in general, and your account in particular, is on the TSP website. You can also obtain limited information from the TSP's automated voice response system, the ThriftLine.

If you need clarification about plan features or have additional questions about your account, your best resource while you are still employed by the federal

government is your agency or service. It is responsible for correcting or changing your personal TSP-related information and resolving any issues regarding your contributions and loan payments. If necessary, it will also be able to contact the TSP on your behalf.

If you are separated from federal service, your primary resource is the TSP.

The Appendix on pages 31 and 32 can direct you to the best sources of information on specific topics.

TSP Website:

tsp.gov

ThriftLine:

1-877-968-3778

(For calls outside the U.S., Canada, and most U.S. territories, use 404-233-4400.)

TSP:

Thrift Savings Plan

P.O. Box 385021

Birmingham, AL 35238

Telephone:

Call the ThriftLine to speak to a Participant Service Representative.
(7 a.m. – 9 p.m. eastern time)

Text Telephone (TDD):

1-877-847-4385

TSP Fax:

1-866-817-5023



THRIFT SAVINGS PLAN ELECTION FORM

TSP-1

Use this form to start, stop, or change the amount of your contributions to the Thrift Savings Plan (TSP).

Before completing this form, please read the *Summary of the Thrift Savings Plan* and the instructions on the back of this form. Type or print all information. **Return the completed form to your agency personnel or benefits office.** Your agency should return a copy to you after completing Section V.

Note: To choose your investment funds, see the instructions in the General Information section on the back of this form.

I. INFORMATION ABOUT YOU

1. _____
Name (Last) (First) (Middle)
2. _____
Street Address City State Zip Code
3. _____
Social Security Number
4. (_____) _____
Daytime Phone (Area Code and Number)
5. _____
Office Identification (Agency and Organization)

II. CHOOSE THE AMOUNT OF YOUR CONTRIBUTIONS

Your choice will cancel
all previous elections.

To start or change the amount of traditional (pre-tax) or Roth (after-tax) contributions to your TSP account, enter **either** a whole percentage of your basic pay per pay period **or** a whole dollar amount per pay period for each type of contribution you elect. (You may choose a percentage for one type of contribution and a dollar amount for the other type of contribution.) **Remember:** A blank line next to a type of contribution equals 0% or \$0 contributed.

- | | | | |
|--|-----------|-----------|-----------------|
| 6. Traditional (Pre-Tax) Contributions | _____ .0% | OR | 7. \$ _____ .00 |
| 8. Roth (After-Tax) Contributions | _____ .0% | OR | 9. \$ _____ .00 |

III. STOP SOME OR ALL OF YOUR CONTRIBUTIONS

To stop all or just one type of your contributions to the TSP, check the box in Item 10 that applies and complete Section IV. Your payroll contributions will stop no later than the first full pay period after your agency employing office receives this form. (If you are a Federal Employees Retirement System [FERS] employee and you stop your contributions, your Agency Matching Contributions will stop, but Agency Automatic [1%] Contributions will continue. Read the instructions on the back.)

10. ☐ I choose not to save for my retirement. Please stop all my payroll contributions to my TSP account.
- ☐ Stop only my traditional (pre-tax) payroll contributions to my TSP account.
- ☐ Stop only my Roth (after-tax) payroll contributions to my TSP account.

If you are a newly hired (or rehired) employee, you can generally stop your automatic employee contributions before they start if you submit this form to your agency before the end of your first full pay period. (See note on back.)

IV. SIGNATURE

11. _____
Participant's Signature
12. _____
Date Signed (mm/dd/yyyy)

V. FOR EMPLOYING OFFICE USE ONLY

13. _____
Payroll Office Number
14. _____
Receipt Date (mm/dd/yyyy)
15. _____
Effective Date (mm/dd/yyyy)
16. _____
Signature of Agency Official

PRIVACY ACT NOTICE. We are authorized to request the information you provide on this form under 5 U.S.C. chapter 84, Federal Employees Retirement System. Your agency or service will use this information to identify your TSP account and to start, change, or stop your TSP contributions. In addition, this information may be shared with other Federal agencies for statistical, auditing, or archiving purposes. The information may also be shared with law enforcement agencies investigating a violation of civil or criminal law, or agencies implementing a statute, rule, or order.

It may be shared with congressional offices, private sector audit firms, spouses, former spouses, and beneficiaries, and their attorneys. Relevant portions of the information may also be disclosed to appropriate parties engaged in litigation and for other routine uses as specified in the Federal Register. You are not required by law to provide this information, but if you do not provide it, your agency or service will not be able to process your request.

ORIGINAL TO PERSONNEL FOLDER
Provide a copy to the employee and to the payroll office.

Form TSP-1 (9/2015)
PREVIOUS EDITIONS OBSOLETE

DOJ-17-0211-B-000137

TSP-1, INFORMATION AND INSTRUCTIONS

GENERAL INFORMATION

You may start, stop, or change your contributions at any time. Your TSP election will stay in effect until you submit another election or until you leave Federal service. (This form only applies to regular contributions. If you are age 50 or older and want to make or change catch-up contributions, use Form TSP-1-C, Catch-Up Contribution Election.)

Important note for new TSP participants: All contributions to your account will be invested in the Lifecycle (L) Fund targeted most closely to the year you turn 62 unless you direct the TSP to allocate your contributions differently. The TSP publication *Summary of the Thrift Savings Plan* describes all of your investment choices and discusses their risks and advantages. For more information, you can also obtain a copy of the TSP Fund Information sheets. (The most current versions of TSP forms and publications are available on the TSP website at tsp.gov.)

To choose your investment fund(s), use the TSP website (tsp.gov) or the ThriftLine at 1-TSP-YOU-FRST (1-877-968-3778; outside the U.S. and Canada, call 404-233-4400). On the TSP website, you will need your TSP account number (or user ID) and Web password. If you use the ThriftLine, you will need your TSP account number and ThriftLine Personal Identification Number (PIN). If you are a new participant, your TSP account number, ThriftLine PIN, and Web password will be mailed to you (separately) after your account has been established.

If you change your address, notify your agency immediately to correct your records for your TSP account.

SECTION I

Complete all items in this section.

SECTION II

Your choice will cancel all previous elections.

Example

Previous Election:

Traditional	5%
Roth	2%

New Election:

Traditional	5%
Roth	10%

Complete this section to start your TSP contributions or to change the amount and type of contributions. Because whatever you enter in this section will cancel all previous elections, be sure to indicate exactly what percentages/amounts you want to contribute, even if part of your election has not changed (see the example in the margin). You can elect to make traditional (pre-tax) and Roth (after-tax) contributions simultaneously. **Traditional contributions** come out of your pay **before** income taxes are calculated; you pay income taxes on these contributions and their earnings when you withdraw them. **Roth contributions** are made from your pay **after** taxes, and the earnings grow in your account tax-deferred. Withdrawals of Roth contributions are tax-free. The earnings associated with Roth contributions are also tax-free, but only if 5 years have passed since January 1 of the calendar year in which you made your first Roth contribution, **and** you have reached age 59½, have a permanent disability, or have died. **Note for FERS:** All agency contributions to your account are tax-deferred, even if they are matching your Roth contributions.

Complete **either** Item 6 **or** Item 7 (not both) for traditional (pre-tax) contributions; **either** Item 8 **or** Item 9 (not both) for Roth contributions. You may choose a percentage of basic pay for one type of contribution and a dollar amount (as little as \$1) for the other type of contribution.

If you choose a percentage of basic pay, your contribution amount will automatically increase when you receive a pay raise.

If you choose a dollar amount per pay period, your contribution amount will not increase when you receive a pay raise; you must submit a new Form TSP-1 to change the amount.

Contribution limit. The **total** of your traditional and Roth contributions cannot exceed the Internal Revenue Code (IRC) annual elective deferral limit, which may change each year. For the current limit, visit "Contribution Limits" at tsp.gov.

SECTION III

Complete Item 10 to stop all or just one type of your contributions. You may restart your contributions at any time.

FERS employees: Your Agency Automatic (1%) Contributions will continue after you stop your employee contributions, but you will no longer receive valuable Agency Matching Contributions. (If you restart your contributions, the matching contributions will resume.)

Note for newly hired or rehired FERS or CSRS employees: Your agency automatically deducts 3% of your pay, tax-deferred, and deposits the money in your TSP account for your retirement savings. If you want all or any portion of your automatic contributions to be after-tax Roth contributions, **you must complete Section II** and indicate what percentages or amounts you want as traditional (pre-tax) and Roth (after-tax) contributions. You can stop your automatic employee contributions before they start if you submit this form to your agency at the start of your first full pay period, subject to your agency's processing deadlines. If your agency has already begun to deduct your automatic employee contributions from your pay each pay period, you are entitled to request a refund of your initial contributions by submitting Form TSP-25, Automatic Enrollment Refund Request. The TSP must receive Form TSP-25 within 90 days of your first contribution.

SECTION IV

You must complete this section.

SECTION V

(To be completed by personnel or benefits office)

The Receipt Date (Item 14) is the date that a **properly completed** form is received by the agency personnel office. If the form has not been properly completed, it should be returned to the employee.

Requests must be processed immediately for new and rehired employees who want to stop automatic enrollment before it begins. This will help avoid a payroll deduction that may have to be refunded. The Effective Date (Item 15) must be no later than the first full pay period after receipt of a properly completed form.

You should provide the participant with a copy of this completed election form.

DESIGNATION OF BENEFICIARY

Designation of Beneficiary

Unpaid Compensation of Deceased Civilian Employee

Important:
Read all instructions before
filling in this form

Identification

Name (Last, first, middle)		Date of birth (mm, dd, yyyy)	Social Security Number
Department or agency in which presently employed (or former department or agency):			
Department or agency	Bureau	Division	Location (City, state and ZIP code)

I, the employee named above, canceling any and all previous Designations of Beneficiary heretofore made by me, do now designate the beneficiary or beneficiaries named below to receive any **unpaid compensation** due and payable after my death. I understand that this Designation of Beneficiary relates solely to money due as defined in 5 U.S.C. 5581, 5582, 5583, and in no way will affect the disposition of any benefit which may become payable under the Retirement or Group Life Insurance Acts applicable to my Government service. I further understand that this Designation of Beneficiary will remain in full force and effect until (1) I expressly change or revoke it in writing, (2) I transfer to another agency, or (3) I am reemployed by the same or another department or agency of the Government.

B. Information Concerning The Beneficiaries (See Examples of Designations)

First name, middle initial, and last name of each beneficiary	Address (including ZIP code) of each beneficiary	Relationship	Share to be paid to each beneficiary
Date of designation (mm, dd, yyyy)	Your signature		Total = %

C. Witnesses (A witness is not eligible to receive payment as a beneficiary)

We, the undersigned, certify that this statement was signed in our presence.

Signature of witness	Number and street	City, state and ZIP code
Signature of witness	Number and street	City, state and ZIP code

Receiving agency certification

I have reviewed this designation and certify that the designated shares total 100% and that no witnesses are designated as beneficiaries.

Date received	Signature	Date
---------------	-----------	------

Type or print your return address to insure return

Important - The filing of this form will completely cancel any Designation of Beneficiary you may have previously filed. Be sure to name in this form all persons you wish to designate as beneficiaries of any unpaid compensation payable at your death.

Examples of Designations

1. HOW TO DESIGNATE ONE BENEFICIARY

Do not write names as M.E. Brown or as Mrs. John H. Brown. If you want to designate your estate as beneficiary, enter "My estate" in the beneficiary column.

First name, middle initial, and last name of each beneficiary	Address (Including ZIP code) of each beneficiary	Relationship	Share to be paid to each beneficiary
Mary E. Brown	214 Central Avenue Muncie, IN 47303	Domestic Partner	100%

2. HOW TO DESIGNATE MORE THAN ONE

Be sure that the shares to be paid to the several beneficiaries add up to 100 percent.

First name, middle initial, and last name of each beneficiary	Address (Including ZIP code) of each beneficiary	Relationship	Share to be paid to each beneficiary
Alice M. Long	509 Canal Street Red Bank, NJ 07701	Aunt	25%
Joseph P. Brady	360 Williams Street Red Bank, NJ 07701	Nephew	25%
Catherine L. Rowe	792 Broadway Whiting, IN 46394	Mother	50%

3. HOW TO DESIGNATE A CONTINGENT BENEFICIARY

First name, middle initial, and last name of each beneficiary	Address (Including ZIP code) of each beneficiary	Relationship	Share to be paid to each beneficiary
John M. Parrish, if living	810 West 180th Street New York, NY 10033	Father	100%
Otherwise to: Susan A. Parrish	810 West 180th Street New York, NY 10033	Sister	100%

4. HOW TO CANCEL A DESIGNATION OF BENEFICIARY AND EFFECT PAYMENT UNDER ORDER OF PRECEDENCE (See back of duplicate)

First name, middle initial, and last name of each beneficiary	Address (Including ZIP code) of each beneficiary	Relationship	Share to be paid to each beneficiary
Cancel prior designations			

IMPORTANT NOTICE – ORDER OF PRECEDENCE

If there is no designated beneficiary alive at the time of your death, any unpaid compensation owed you (that becomes payable after you die) will be paid to the first person or persons in the order listed below who are alive on the date that entitlement to a payment occurs.

1. To your widow or widower.
2. If neither of the above, to your child or children in equal shares. The share of any deceased child is distributed to the descendants of that child.
3. If none of the above, to your parents in equal shares or the entire amount to the surviving parent.
4. If none of the above, to the duly appointed legal representative of your estate. If there is none, to the person or persons entitled under the laws of the State or other domicile where you lived.

You do not need to designate a beneficiary unless you want to name some person or persons not listed above or you want the payment to be made in a different order.

INSTRUCTIONS

1. The examples on the back of the first page of this form may be helpful to you in filling out this form.
2. Except for signatures, you should type or print all entries in ink (typing is preferred). You should use this form for any designation of beneficiary or beneficiaries. The form must be signed and witnessed.
3. The form should be free of erasures or alterations to avoid a possible legal contest after your death.
4. You do not need to fill out a new form when your name or address changes or when the name or address of your beneficiary changes.
5. You must complete the form in duplicate and file it with your employing agency. To be valid, your agency must receive the completed form prior to your death. The duplicate will be annotated and returned to you as evidence that the original was received and filed with your agency. We suggest that you file the duplicate with your important papers.
6. You can cancel any prior Designation of Beneficiary form without naming a new beneficiary by completing a new form and inserting "Cancel prior designations" in the space provided for the name of beneficiary. This will change the payment to the order of payment described under "Order of Precedence."
This designation remains valid unless (a) you change or revoke it, (b) you transfer to another agency, or (c) you leave and then are reemployed by the Federal Government. If you are covered by (b) or (c), you must fill out a new form if you want to change the order of payment described under "Order of Precedence."

NOTE: If this form is not available, any designation, change or cancellation of beneficiary that is witnessed and filed according to these instructions will be valid.

This form is not to be confused with Standard Form 2808, Designation of Beneficiary, Civil Service Retirement System, Standard Form 2823, Designation of Beneficiary, Federal Employees' Group Life Insurance Program, or Standard Form 3102, Designation of Beneficiary, Federal Employees Retirement System.

Privacy Act Statement

Solicitation of this information is authorized by the Code of Federal Regulations, Part 178, Subpart B. The information you furnish will be used to determine the amount, validity, and the person(s) entitled to the unpaid compensation of a deceased Federal employee. The information may be shared and is subject to verification, via paper, electronic media, or through the use of computer matching programs to obtain information necessary for determination of entitlement under this program or to report income for tax purposes. It may also be shared and verified, as noted above, with law enforcement agencies when they are investigating a violation or potential violation of the civil or criminal law. Public Law 104-134 (April 26, 1996) requires that any person doing business with the Federal government furnish a Social Security Number or tax identification number. This is an amendment to title 31, Section 7701. Failure to furnish the requested information may delay or make it impossible for us to determine eligibility of payments.

Designation of Beneficiary
Federal Employees' Group Life Insurance (FEGLI) Program
(DO NOT erase or cross-out. Use a new form.)

Important:
Read instructions on the
Back of Part 2 before completing this form.

A. Information About the Insured (not the Assignee, if there is one) (type or print)

Name of Insured (Last, first, middle)		Date of birth of Insured (mm/dd/yyyy)	Social Security Number of Insured
The Insured is: Place an "X" in the appropriate box.	<input type="checkbox"/> an employee	If the Insured is retired or receiving Federal Employees' Compensation, give CSA, CSI, or OWCP claim number:	
	<input type="checkbox"/> a retiree		
	<input type="checkbox"/> a compensationner		
Department or agency where the Insured works (If retired, last department or agency where the Insured worked):			
Department or agency		Bureau or division	Location (city, state, and ZIP code)

B. Information About the Beneficiary or Beneficiaries (See Back of Part 1 for examples) (type or print)

First name, middle initial, and last name of each beneficiary	Social Security Number	Address (Including ZIP code)	Relationship	Percent or fraction designated
Total (Must equal 100% or 1.0) (Do not use dollar amounts)				
(Do not put a Total if you designated types of insurance. See example 4 on Back of Part 1.)				

C. Statement of Insured or Assignee (type or print)

Your name and address (Including ZIP code)	Please check one: I am:	Please check all three:
	<input type="checkbox"/> the Insured	<input type="checkbox"/> I have not assigned the insurance.
	<input type="checkbox"/> an Assignee	<input type="checkbox"/> Two people who witnessed my signature signed below.
See Back of Part 2 for definitions		<input type="checkbox"/> I did not name either witness as a beneficiary.
<p>I understand that if there is a valid assignment on file, only the assignee has the right to designate a beneficiary. If a valid assignment is not on file, but there is a valid court order on file with the agency or the U.S. Office of Personnel Management, as appropriate, any designation I complete for the same benefits is not valid.</p> <p>I understand that if this Designation is valid, it will stay in effect unless it is canceled. (See "When Is A Designation Canceled?" on the Back of Part 2).</p>		
<p>I understand that if this Designation is invalid for any reason, the Office of Federal Employees' Group Life Insurance will pay benefits according to the next most recent valid designation. If there isn't one, it will pay according to the order listed on the Back of Part 2.</p> <p>I am canceling any and all previous Designations of Beneficiary under the Federal Employees' Group Life Insurance Program and am now designating the beneficiary(ies) named above.</p>		
Signature of Insured/Assignee (Only the Insured/Assignee may sign. Signatures by guardians, conservators or through a power of attorney are not acceptable.) This form is not valid unless the Insured/Assignee signs in this box.		Date (mm/dd/yyyy)

D. Witnesses To Signature (A witness is not eligible to receive a payment as a beneficiary.)

Signature of witness	Address (Including ZIP code)
Signature of witness	Address (Including ZIP code)

E. For Agency Use Only (or OPM, as appropriate)

Receiving agency	Date of receipt (mm/dd/yyyy)	Signature of authorized official	Title
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Part 1 - Original

Note: If you need more space when completing this form, see "What if I need more room?" in the instructions on the Back of Part 2.

Examples of Designations

How to designate one beneficiary Show beneficiary's full name. Do not write names as M.E. Brown or as Mrs. John H. Brown. If you want to designate your estate, enter "My estate" in the beneficiary column.

First name, middle initial, and last name of each beneficiary	Social Security Number	Address (Including ZIP code)	Relationship	Percent or fraction designated
Mary E. Brown	000-00-0000	214 Central Avenue Munice, IN 47303	Niece	100%

2. How to designate more than one beneficiary Be sure that the shares to be paid to the several beneficiaries add up to 100 percent or 1.0. Read instructions on the Back of Part 2 if you need more room.

First name, middle initial, and last name of each beneficiary	Social Security Number	Address (Including ZIP code)	Relationship	Percent or fraction designated
Jose P. Lopez	111-11-1111	360 Williams Street Red Bank, NJ 07701	Domestic Partner	one-half
Rosa L. Rowe	222-22-2222	792 Broadway Whiting, IN 46392	Mother	one-half

3. How to designate a contingent beneficiary (Someone to receive the benefits if the person you designate dies before the Insured dies)

First name, middle initial, and last name of each beneficiary	Social Security Number	Address (Including ZIP code)	Relationship	Percent or fraction designated
John M. Parrish, if living	333-33-3333	810 West 180th Street New York, NY 10033	Spouse	100%
Otherwise to: Susan A. Parrish	444-44-4444	810 West 180th Street New York, NY 10033	Sister	100%

4. How to designate different beneficiaries for Basic and Optional You cannot designate Option C - Family.

First name, middle initial, and last name of each beneficiary	Social Security Number	Address (Including ZIP code)	Relationship	Percent or fraction designated
Leroy D. White	555-55-5555	124 Elm Street Dayton, OH 45420	Father	100% Basic
Jane M. Smith	666-66-6666	421 Spring Avenue Portland, ME 04101	Sister	100% Option A
Elizabeth J. Allen	777-77-7777	234 Fifth Avenue New York, NY 10029	Daughter	50% Option B
Ann J. Borden	888-88-8888	678 Ninth Street Philadelphia, PA 19123	Daughter	50% Option B

5. How to designate an inter vivos trust (A trust that you set up during your lifetime)

First name, middle initial, and last name of each beneficiary	Social Security Number	Address (Including ZIP code)	Relationship	Percent or fraction designated
Trustee(s) or Successor Trustee(s) as provided in the John Q. Public Trust Agreement dated 10/15/2013, if valid. Otherwise to:			Trustee	100%
Mary E. Brown	000-00-0000	214 Central Avenue Munice, IN 47303	Niece	100%

6. How to designate a testamentary trust (A trust that is set up when you die, according to terms in your will)

First name, middle initial, and last name of each beneficiary	Social Security Number	Address (Including ZIP code)	Relationship	Percent or fraction designated
Trustee(s) or Successor Trustee(s) as provided in my Last Will and Testament, if valid. Otherwise to:			Trustee	100%
Maria Sufuentes	999-99-9999	5909 Pacific Avenue, NW Washington, DC 20019	Niece	100%

7. How to cancel all designations of beneficiary

First name, middle initial, and last name of each beneficiary	Social Security Number	Address (Including ZIP code)	Relationship	Percent or fraction designated
Cancel prior designations				

INSTRUCTIONS: The Insured or assignee must sign this form. Two people must witness the signature and sign as witnesses. The Insured's agency (or U.S. Office of Personnel Management [OPM], if the Insured is an annuitant or insured as a compensationers) must receive the designation before the Insured's death. A person with a power of attorney or other similar legal authority may not sign for the Insured or assignee. A witness cannot be a beneficiary. The agency or OPM, as appropriate, must receive valid court orders involving FEGLI before the Insured's death.

Please read the additional instructions below before completing this form.

"You" and "your" refer to the person completing this form (the Insured or an assignee). The "Insured" is the Insured employee, annuitant or compensationers. The "Assignee" is a person(s), firm(s), or trust(s) (usually named on an Assignment form, RI 76-10) who owns and controls the Insured's life insurance coverage. An assignment is NOT the same as a designation of beneficiary.

Who receives benefits when the Insured dies? By law, the Office of Federal Employees' Group Life Insurance (OFEGLI) pays benefits in this order:

- ❖ If the Insured assigned ownership of his/her insurance (usually by filing an RI 76-10, *Assignment of Life Insurance*), OFEGLI will pay:
 - First**, to the beneficiary(ies) the assignee(s) validly designated;
 - Second**, if none, to the assignee(s).
- ❖ If the Insured did not assign ownership and there is a valid court order (see Part 870 of title 5, Code of Federal Regulations) on file with the agency or OPM, as appropriate, OFEGLI will pay benefits according to the court order.
- ❖ If the Insured did not assign ownership and there is no valid court order on file with the agency or OPM, as appropriate, then OFEGLI will pay:
 - First**, to the beneficiary(ies) the Insured validly designated;
 - Second**, if none, to the Insured's widow or widower;
 - Third**, if none of the above, to the Insured's child or children in equal shares, and the descendants of any deceased children (a court will usually have to appoint a guardian to receive payment for a minor child);
 - Fourth**, if none of the above, to the Insured's parents in equal shares, or the entire amount to the surviving parent;
 - Fifth**, if none of the above, to the court-appointed executor or administrator of the Insured's estate;
 - Sixth**, if none of the above, to the Insured's other next of kin entitled under the laws of the State where the Insured lived.

Do I have to designate a beneficiary? No. But if you want OFEGLI to pay differently than listed above and you have not assigned the life insurance and there is no valid court order on file with the agency or OPM, as appropriate, you need to designate a beneficiary.

What if one of the beneficiaries dies or is disqualified for any reason? Unless you indicate otherwise on your designation of beneficiary, OFEGLI will distribute that beneficiary's share equally among the surviving beneficiaries, or entirely to the sole survivor.

What if none of the beneficiaries is living when the Insured dies? OFEGLI will pay the benefits according to the order of precedence listed above.

Can I cancel or change this designation at any time? Yes, you may cancel or change your designation at any time, without the knowledge of or consent of the beneficiary(ies), unless you assigned the insurance or there is a valid court order on file with the agency or OPM, as appropriate.

Is a change or cancellation of beneficiary in my last will or testament valid? It is valid only if you sign your will, two people who witnessed your signature sign your will, and your agency (or OPM, for retirees or insured compensationers) receives your will before the Insured's death.

What if I don't know a beneficiary's social security number? If you don't know the number, leave it blank. But having the number helps speed up the payment of benefits.

Can a witness receive benefits as a designated beneficiary? No.

Who can I name as a beneficiary? You may name any person, firm, corporation or legal entity (except an agency of the Federal or District of Columbia government).

Can I use a common disaster clause? Yes. A common disaster clause is a statement that says that a designated beneficiary is entitled to the benefits only if he/she survives the Insured by a specified minimum number of days. The number of days cannot exceed 30. You can name a contingent beneficiary. If you don't name a

contingent and your beneficiary does *not* live long enough to qualify, OFEGLI will pay according to the order listed in the first column.

Can I designate a trust? Yes. See examples 5 and 6 on the Back of Part 1. Those examples name a contingent beneficiary in case the trust is not valid. You don't have to name a contingent beneficiary unless you want to. If the trust is not valid, and you do not name a contingent, OFEGLI will pay according to the order listed in the first column. The trust designation should include the name of the grantor, the trust name (if different), the name(s) of the trustees, and the date the trust was signed.

When is a designation canceled? A designation of beneficiary is automatically canceled 31 days after the Insured stops being insured. It is also canceled if either the Insured or assignee assigns the insurance or if the Insured or assignee submits another valid designation.

What if the Insured elected a full living benefit? Then there is no Basic left. So if you want to designate different types of insurance to different beneficiaries (see example 4 on the Back of Part 1), you should only list Option A and Option B.

Who can sign this form? The Insured or Assignee (if applicable) must sign this form. The signature of a guardian, conservator or other fiduciary (including, but not limited to, those acting according to a Power of Attorney or a Durable Power of Attorney) is *not* acceptable.

What if I erase or cross out something on this form? You should complete another form. Erasures, cross-outs and alterations cause a delay in the payment of benefits and may make the entire designation invalid.

What if I need more room? Write "See Attached" in Part B of the form. Use a blank sheet. Print your name, date of birth and social security number at the top of the attachment. List the information required in Part B for each beneficiary. Sign the form and attachment. Have the same two people witness both of your signatures and sign the form and attachment.

Where can I get more information? The FEGLI Handbook (RI 76-26) and FEGLI Booklet (FE 76-21 or FE 76-20 for Postal employees) contain more information. You can read them at www.opm.gov/healthcare-insurance/life-insurance.

Where should I send this form? Send it to the Insured's employing agency if the Insured:

- ❖ is an employee; or
- ❖ has been receiving compensation payments from the Office of Workers' Compensation Programs for less than 12 months and is still on the agency's rolls as an employee.

Send it to the Office of Personnel Management, Retirement Operations Center, P.O. Box 45, Boyers, PA 16017-0045 if the Insured:

- ❖ is a retiree; or
- ❖ is receiving compensation payments from the Office of Workers' Compensation Programs and is not still employed or has been receiving compensation payments for at least 12 months.

The agency or OPM will note receipt in section E of the form and return a copy to you as evidence that it received and filed the original.

PROPERLY COMPLETED DESIGNATIONS ARE NOT VALID UNLESS THE APPROPRIATE OFFICE LISTED ABOVE RECEIVES THEM BEFORE THE INSURED'S DEATH.

Privacy Act and Public Burden Statements

Title 5, U.S. Code, chapter 87, Life Insurance, authorizes solicitation of this information. The Office of Federal Employees' Group Life Insurance (OFEGLI) will use the information you furnish to determine your beneficiary(ies) for benefits under the Federal Employees' Group Life Insurance Program. OFEGLI is not a Federal agency. It is staffed by employees of the contracted life insurance carrier. It may share this information with the Office of Personnel Management (OPM). Agencies and/or OPM will place this information in the Insured's Official Personnel Folder or retirement file. OPM or OFEGLI may disclose this information to other Federal agencies or Congressional offices which may have a need to know it in connection with your application for a job, license, grant or other benefit. It may also be shared and is subject to verification, via paper, electronic media, or through the use of computer matching programs, with national, state, local or other charitable or social security administrative agencies to determine and issue benefits under their programs. In addition, to the extent this information indicates possible violation of civil or criminal law, it may be shared and verified, as noted above, with an appropriate Federal, state, or local law enforcement agency.

You also ask for the Insured's Social Security Number to use it as an individual identifier in the Federal Employees' Group Life Insurance Program.

Executive Order 9397, dated November 22, 1943, allows Federal agencies to use the Social Security Number as an individual identifier to distinguish between people with the same or similar names.

While the law does not require you to supply all the information requested on this form, doing so will help in the prompt processing of your designation.

Agencies other than the Office of Personnel Management may have further routine uses for disclosure of information from the records systems in which they file copies of this form. If this is the case, they should provide you with any such uses which are applicable at the time you complete this form.

We estimate this form takes an average of 15 minutes to complete, including the time for reviewing instructions, getting the needed data, and reviewing the completed form. Send comments regarding our estimate or any other aspect of this form, including suggestions for reducing completion time, to the Office of Personnel Management, Retirement Services Publications Team (3206-0136), Washington, D.C. 20415-3430. The OMB number, 3206-0136, is currently valid. OPM may not collect this information, and you are not required to respond, unless this number is displayed.

KEEP YOUR DESIGNATION CURRENT. SUBMIT A NEW ONE IF THE ADDRESS OF ONE OF YOUR BENEFICIARIES CHANGES OR IF YOUR INTENTIONS CHANGE (FOR EXAMPLE, DUE TO A CHANGE IN FAMILY STATUS, SUCH AS MARRIAGE, DIVORCE, DEATH, BIRTH, ETC.).



Federal Employees
Retirement System

Designation of Beneficiary

Federal Employees Retirement System

Form Approved
OMB No. 3206-0173

Important:
Read all instructions before
filling in this form

Identification

Name (Last, first, middle)

Date of birth (mm/dd/yyyy)

Social Security Number

Place an "X" in the
appropriate box:



☐ An employee

☐ Retired or an
applicant for
retirement

☐ Former employee eligible
for retirement in the
future

If you are retired give your claim number

Department or agency in which presently employed (or former department or agency):

Department or agency

Bureau

Division

Location (City, state and ZIP code)

I, the individual identified above, designate the beneficiary or beneficiaries named below to receive any lump-sum benefit which may become payable under the Federal Employees Retirement System (FERS) after my death, including lump-sum death benefits which may become payable based on amounts contributed to the Civil Service Retirement System (CSRS) before I became covered by FERS. I understand that this designation of beneficiary cancels any previous FERS or CSRS designation of beneficiary, and that it remains in effect until I cancel it in writing or I receive payment of my FERS retirement contributions.

I direct, unless otherwise indicated below, that if more than one beneficiary is named, the share of any beneficiary who may predecease me or who may be disqualified for any other reason, shall be distributed equally among the stated beneficiaries, or entirely to the survivor. If none of the beneficiaries are alive and eligible to receive payment when a lump-sum payment becomes payable, this designation is void, and payment will be made according to the order of precedence set by law.

B. Information Concerning The Beneficiaries (See Examples of Designations):

First name, middle initial, and last name of each beneficiary ①	Address (including ZIP code) of each beneficiary ②	Relationship to you ③	Share to be paid to each beneficiary
Date of designation (mm/dd/yyyy)	Your signature		Total = 100%

C. Witnesses (A witness is not eligible to receive payment as a beneficiary):

We, the undersigned, certify that this statement was signed in our presence.

Signature of witness

Address (including ZIP code)

Signature of witness

Address (including ZIP code)

Receiving agency certification

I have reviewed this designation and certify that the designated shares total 100% and that no witnesses are designated as beneficiaries.

Date received by agency (mm/dd/yyyy)

Signature

Date (mm/dd/yyyy)

① We will pay to the person you designate, even if that person's name or relationship to you changes after you file this designation. For example, suppose you designate your spouse and then you two divorce and you marry someone else. We will pay any lump sum to your former spouse unless you submit another designation to cancel prior designations or to designate who we are to pay.

② We will write to the address you provide here to contact the person you designate. However, that person is obligated to get in touch with us after your death to ask us to make payment.

Type or print your return address so that we can return a copy to you.

See Back of Employee Copy For Instructions
On Where To File This Form.
(Retain until employee leaves Federal
service and then send to the Office of Personnel
Management [OPM].)

Important - The filing of this form will completely cancel any Designation of Beneficiary under the Federal Employees Retirement System or under the Civil Service Retirement System you may have previously filed. Be sure to name in this form all persons you wish to designate as beneficiaries of any lump sum payable at your death.

Examples of Designations

HOW TO DESIGNATE ONE BENEFICIARY

Do not write names as M.E. Brown or as Mrs. John H. Brown. If you want to designate your estate as beneficiary, enter "My estate" in the beneficiary column.

First name, middle initial, and last name of each beneficiary	Address (including ZIP code) of each beneficiary	Relationship to you	Share to be paid to each beneficiary
Mary E. Brown	214 Central Avenue Muncie, IN 47303	Niece	100%

2. HOW TO DESIGNATE MORE THAN ONE BENEFICIARY

Be sure that the shares to be paid to the several beneficiaries add up to 100 percent.

First name, middle initial, and last name of each beneficiary	Address (including ZIP code) of each beneficiary	Relationship to you	Share to be paid to each beneficiary
Alice M. Long	509 Canal Street Red Bank, NJ 07701	Aunt	25%
Joseph P. Brady	360 Williams Street Red Bank, NJ 07701	Domestic Partner	25%
Catherine L. Rowe	792 Broadway Whiting, IN 46394	Mother	50%

3. HOW TO DESIGNATE A CONTINGENT BENEFICIARY

First name, middle initial, and last name of each beneficiary	Address (including ZIP code) of each beneficiary	Relationship to you	Share to be paid to each beneficiary
John M. Parrish, if living	810 West 180th Street New York, NY 10033	Father	100%
Otherwise to: Susan A. Parrish	810 West 180th Street New York, NY 10033	Sister	100%

4. HOW TO DESIGNATE AN INTER VIVOS TRUST (A trust that you set up during your lifetime)

First name, middle initial, and last name of each beneficiary	Address (including ZIP code) of each beneficiary	Relationship to you	Share to be paid to each beneficiary
Trustee(s) or Successor Trustee(s) as provided in the John Q. Public Trust Agreement dated 12/18/1999, if valid. Otherwise to:		Trustee	100%
Mary E. Brown	214 Central Avenue Muncie, IN 47303	Niece	100%

5. HOW TO DESIGNATE A TESTAMENTARY TRUST (A trust that is set up when you die, according to terms in your will)

First name, middle initial, and last name of each beneficiary	Address (including ZIP code) of each beneficiary	Relationship to you	Share to be paid to each beneficiary
Trustee(s) or Successor Trustee(s) as provided in my Last Will and Testament, if valid. Otherwise to:		Trustee	100%
Maria Sufuentes	5909 Pacific Avenue, NW Washington, DC 20019	Niece	100%

6. HOW TO CANCEL A DESIGNATION OF BENEFICIARY AND EFFECT PAYMENT UNDER ORDER OF PRECEDENCE (See back of employee copy)

First name, middle initial, and last name of each beneficiary	Address (including ZIP code) of each beneficiary	Relationship to you	Share to be paid to each beneficiary
Cancel prior designations			

Instructions

This Designation of Beneficiary Form is used to designate who is to receive a lump-sum payment which may become payable under the Federal Employees Retirement System (FERS). It does not affect the right of any person who is eligible for survivor annuity benefits. This form may not be used and will not be active in any way to elect, or demonstrate the intent to elect, a survivor annuity for a spouse, former spouse, or an individual who has an insurable interest in an employee. Do not confuse this form with designation forms used for other types of benefits: Standard Form 2808, *Designation of Beneficiary - Civil Service Retirement System*; Standard Form 2823, *Designation of Beneficiary - Federal Employees' Group Life Insurance Program*; TSP-3, *Thrift Savings Plan Designation of Beneficiary*; or Standard Form 1152, *Designation of Beneficiary - Unpaid Compensation of Deceased Civilian Employee*.

This form is only for employees and retirees under FERS. Employees and retirees under the Civil Service Retirement System (CSRS) must use Standard Form 2808, *Designation of Beneficiary - Civil Service Retirement System*. If you transferred from CSRS to FERS and previously filed an SF 2808, Designation of Beneficiary - Civil Service Retirement System, your SF 2808 is invalid. You must file a new designation using this form.

Important - The filing of this form will completely cancel any Designation of Beneficiary under FERS or CSRS (SF 3102 or SF 2808) you may have previously filed. Be sure to name in this form all persons you wish to designate as beneficiaries for FERS lump-sum death benefits, including lump sum payment of amounts you may have contributed to CSRS before becoming covered by FERS.

Order of Precedence

You do not need to make a designation if you are satisfied with the order of precedence that the law provides. That order of precedence follows:

1. To your widow or widower.
2. If your widow(er) is deceased, to your child or children, with the share of any deceased child distributed among the descendants of that child.
3. If none of the above, to your parents in equal shares or the entire amount to the surviving parent.
4. If none of the above, to the executor or administrator of your estate.
5. If none of the above, to your other next of kin under the laws of the State in which you live at the time of your death.

Payment of a lump sum will be made to the first person or persons listed above who are alive on the day you die.

Designating a Beneficiary

1. You can designate any person, firm, corporation, trust, or legal entity as your beneficiary.

If you want to designate a trust, see examples 4 and 5 on the back of Part 1. Those examples name a contingent beneficiary in case the trust is not valid. You don't have to name a contingent beneficiary unless you want to. If the trust is not valid, and you do not name a contingent beneficiary, OPM will pay according to the order listed under "Order of Precedence" above.

2. You can change your beneficiary at any time, without the knowledge or consent of a previous beneficiary, and this right cannot be waived or restricted.
3. A designation of beneficiary must be in writing, signed, and witnessed. If you are an employee, the designation must be received in your employing office prior to your death. If you are a separated employee, a retiree or a person receiving recurring payments from the Office of Workers' Compensation Programs (OWCP), the designation must be received by the Office of Personnel Management (OPM) prior to your death.
4. A witness to a designation of beneficiary is ineligible to receive payment as a beneficiary.
5. The person(s) named will be considered a beneficiary (beneficiaries) for both CSRS and FERS lump-sum benefits.
6. You cannot change or cancel a designation of beneficiary in a last will or testament unless it is signed, witnessed, and filed as described in paragraph 3.

7. A designation of beneficiary remains in effect until (1) you cancel it by filing a new designation, or (2) you receive a refund of your retirement deductions before retirement. To inform us if the name or address of a beneficiary changes, file a new designation of beneficiary. It may be important to file a new designation if your family situation changes.

Completing the Designation Form

1. The examples printed on the back of the first page of this form may be helpful to you in naming a beneficiary or canceling a prior designation of beneficiary.
2. If you designate more than one beneficiary, be sure that the shares to be paid to them add up to 100 percent. Do not use dollar amounts to indicate the shares.
3. If you wish to designate more than four persons in Part B, use a blank sheet of paper which you will attach to the form. Print your name and date of birth at the top of the attachment and provide the information required in Part B for each beneficiary. Your signatures on the form and on the attachment must be witnessed by the same two people. The witnesses must sign both the form and the attachment.
4. Complete the form in duplicate. Type or print all entries except signatures. Do not use pencil.
5. Do not erase or alter entries.

Where to Submit the Completed Form

For employees: File this form with your employing agency, even if you are retiring.

For separated employees, retirees and individuals receiving recurring benefits from the Office of Workers' Compensation Programs (OWCP): If you have left Federal employment, if you are receiving recurring benefits from the Office of Workers' Compensation Programs, or if you have retired, file this form with the Office of Personnel Management, Retirement Operations Center, Federal Employees Retirement System, P.O. Box 45, Boyers, PA 16017-0045.

Your designation will not be effective until the date it is received by your employing agency (or OPM if you are not employed).

The employee copy of this form will be noted and returned to you as evidence that the original has been received and filed. Please keep the duplicate in a safe place along with your other important papers.

For the employing agency: File the Official Personnel Folder (OPF) copy on the right side of the OPF. If the employee leaves Federal service, send all FERS designations in the OPF to OPM.

Privacy Act and Public Burden Statements

Solicitation of this information is authorized by the Civil Service Retirement law (Chapter 83, title 5, U.S. Code) and the Federal Employees Retirement law (Chapter 84, title 5, U.S. Code). The information you furnish will be used to determine who will receive a lump sum benefit in the event of your death. The information may be shared and is subject to verification, via paper, electronic media, or through the use of computer matching programs, with national, state, local or other charitable or social security administrative agencies in order to determine benefits under their programs, to obtain information necessary for determination of benefits under this program, or to report income for tax purposes. It may also be shared and verified, as noted above, with law enforcement agencies when they are investigating a violation or potential violation of civil or criminal law.

Executive Order 9397 (November 22, 1943), authorizes the use of the Social Security Number. Failure to furnish the requested data may delay or make it impossible for us to determine how to make payment in the event of your death.

We estimate providing this information takes an average of 15 minutes per response to complete, including the time for reviewing instructions, getting the needed data, and reviewing the completed form. Send comments regarding our estimate or any other aspect of SF 3102, including suggestions for reducing completion time, to the U.S. Office of Personnel Management (OPM), Retirement Services Publications Team (3206-0173), Washington, D.C. 20415-3430. The OMB number, 3206-0173 is currently valid. OPM may not collect this information, and you are not required to respond, unless this number is displayed.



Thrift Savings Plan

Form TSP-3 Designation of Beneficiary

May 2017

For federal civilian employees, members of the uniformed services, and beneficiary participants

If you would like your TSP account to be distributed according to the statutory order of precedence, do not complete this form. (See the first page of the instructions for an explanation of the order of precedence.)

Use this form to designate a beneficiary or beneficiaries to receive your Thrift Savings Plan (TSP) account after your death. This Designation of Beneficiary form will stay in effect until you submit another valid Form TSP-3 naming other beneficiaries or canceling all prior designations. The beneficiary designation(s) you provide on this form will automatically cancel all previous designations you submitted. Complete this form in accordance with the instructions. **Do not cross out, erase, or otherwise change any information you provide on this form.** Make a copy of this form for your records and send the original to the TSP. **If you are an active employee or service member, do not give this form to your agency or service.**

**Mail the original to: Thrift Savings Plan
P.O. Box 385021
Birmingham, AL 35238**

Or fax to: 1-866-817-5023

If you have questions, call the toll-free ThriftLine at 1-877-968-3778 or the TDD at 1-877-847-4385. Outside the U.S. and Canada, please call 404-233-4400 (not toll free).

You will receive a confirmation of your designation once your form is processed.

Check to make sure of the following:

- ✓ You provide your name and account number on each page that you submit to the TSP.
- ✓ You print **legibly**.
- ✓ You sign all pages you complete (including any extra pages you add) on the **same** date.
- ✓ You have the **same witness** sign and date all pages—including any extra pages—after you sign and date the form. The witness cannot be named as a beneficiary.
- ✓ You do not alter this form or any information you provide on it.
- ✓ Your primary beneficiaries' shares add up to 100%.
- ✓ If you name contingent beneficiaries, you name a primary beneficiary for each contingent beneficiary.
- ✓ The shares of contingent beneficiaries (if any) total 100% for each primary beneficiary.
- ✓ You do **not** submit your will or direct us to make a designation according to your will.
- ✓ You address this form to:

**Thrift Savings Plan
P.O. Box 385021
Birmingham, AL 35238**



THRIFT SAVINGS PLAN DESIGNATION OF BENEFICIARY

TSP-3

I. PARTICIPANT INFORMATION—This applies to my: ☐ Civilian ☐ Uniformed Services ☐ Beneficiary Participant Account

Last Name First Name Middle Name

TSP Account Number

Date of Birth (mm/dd/yyyy)

Daytime Phone (Area Code and Number)

Street Address or Box Number

☐ Foreign address?
Check here.

Street Address Line 2

City

State

Zip Code

II. CANCELLATION—To cancel all previous designations without designating new beneficiaries, check the box below. In the event of your death, payment from the TSP will be made according to the statutory order of precedence set by the United States Code (5 U.S.C. § 8424(d)).

☐ Check here only to cancel all prior beneficiary designations without naming new beneficiaries. (Also complete Section IV.)

III. PRIMARY BENEFICIARY DESIGNATIONS

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation

Share: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

SSN/EIN/Tax ID

Name of Trustee/Executor (if applicable)

Date of Birth (mm/dd/yyyy)

Address:

☐ Foreign address?
Check here.

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation

Share: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

SSN/EIN/Tax ID

Name of Trustee/Executor (if applicable)

Date of Birth (mm/dd/yyyy)

Address:

☐ Foreign address?
Check here.

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation

Share: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

SSN/EIN/Tax ID

Name of Trustee/Executor (if applicable)

Date of Birth (mm/dd/yyyy)

Address:

☐ Foreign address?
Check here.

IV. SIGNATURES—This entire form is valid **only** if all pages are signed, dated, and then **witnessed by the same person**. The witness must be **age 21 or older** and **cannot** be a primary or contingent beneficiary of any portion of this TSP account. By signing below, the witness affirms that the participant either signed in the witness's presence or informed the witness that he or she signed it earlier.

Participant Signature

Date Signed (mm/dd/yyyy)

☐ Check here and go to Page 2 if naming more than 3 primary beneficiaries.

Witness Signature

Date Signed (mm/dd/yyyy)

Witness Print Full Name



* P 1 1 S 0 0 2 2 8 7 0 1 2 0 0 0 0 0 0 0 P 1 1 S *

Do Not Write In This Section

FORM TSP-3, Page 1 (5/2017)
PREVIOUS EDITIONS OBSOLETE

DOJ-17-0211-B-000151

FORM TSP-3, INFORMATION AND INSTRUCTIONS FOR PAGES 1 AND 2

This form stays in effect until you submit another valid Form TSP-3 naming other beneficiaries or canceling all prior designations. It does not affect the disposition of any other benefits you may have such as a FERS Basic Annuity, a CSRS annuity, or military retired pay.

Complete this form only if you want payment to be made in a way other than the following statutory **order of precedence**:

1. To your spouse
2. If none, to your child or children equally, with the share due any deceased child divided equally among that child's descendants
3. If none, to your parents equally or to your surviving parent
4. If none, to the appointed executor or administrator of your estate
5. If none, to your next of kin who is entitled to your estate under the laws of the state in which you resided at the time of your death

As used here, "child" means either a biological child or a child adopted by the participant. It does not include your stepchild or foster child unless you have adopted the child. Nor does it include your biological child if that child has been adopted by someone other than your spouse.

"Parents" does not include stepparents who have not adopted you.

Making a valid designation. To name specific beneficiaries to receive your TSP account after you die, you must complete this form, and it must be received by the TSP **on or before** the date of your death.

Only a Form TSP-3 is valid for designating beneficiaries to your TSP account(s); a will or court order (e.g., divorce decree) is not valid for the disposition of a TSP account. You may, however, designate your estate or a trust as a beneficiary on Form TSP-3.

You are responsible for ensuring that **each page** of your Form TSP-3 is properly completed, signed, and witnessed. Do not submit an altered form; it may be deemed invalid. If you need to correct or change the information you have entered on the form, start over on a new form.

Changing or canceling your designation of beneficiary. To cancel a Form TSP-3 already on file, follow the instructions for Section II.

Keep your designation (and your beneficiaries' addresses) current. It is a good idea to review how you have designated your beneficiaries from time to time—particularly when your life situation changes (e.g., through marriage, divorce, the birth or adoption of a child, or the death of a beneficiary).

By law, the TSP must pay your properly designated beneficiary under **all** circumstances. For example, if you designate your spouse as a beneficiary of your TSP account, that spouse will be entitled to death benefits, even if you are separated or divorced from that spouse and have remarried. This is true even if the spouse you designated gave up all rights to your TSP account(s). Consequently, if your life situation changes, you may want to file a new Form TSP-3 that changes or cancels your current beneficiary designation.

Unless you designate a contingent beneficiary, the share of any primary beneficiary who dies before you do will be distributed proportionally among the surviving designated TSP beneficiaries. If none of your designated beneficiaries are alive at the time of your death, the statutory order of precedence will be followed.

SECTION I—Participant Information. For this and all sections of this form, carefully type or print the requested information **inside** the boxes, where provided, using black or dark blue ink. For beneficiary addresses print or type legibly in the spaces provided.

EXAMPLES

Correct

C O R R E C T

3 / 6 / 19 8 2

Incorrect

Incorrect

3 / 6 / 19 82

Check the box that indicates whether you intend your beneficiary(ies) to receive funds from your civilian, uniformed services, or beneficiary participant account (i.e., an account inherited by the spouse of a deceased TSP participant). If you have a civilian **and** a uniformed services account and want to designate the same beneficiaries and shares for both accounts, check both boxes. To designate different beneficiaries for each account, you must submit two forms. If you have a civilian and/or uniformed services account **in addition to** a beneficiary participant account, you will need to complete an additional Form TSP-3 to designate beneficiaries for your beneficiary participant account. If you have **more than one** beneficiary participant account, you will need to complete a separate TSP-3 form for each beneficiary participant account since every beneficiary participant account has its own account number. **Note:** To avoid the possibility of having your form rejected, be sure to provide the correct account number (civilian, uniformed services, or beneficiary participant) and check the correct box(es) that corresponds to the account for which you want to designate beneficiaries.

If you have a foreign address, check the box to indicate this.

SECTION II—Cancellation. To **cancel** a Form TSP-3 already on file **without naming new beneficiaries**, check the box in this section, sign and date the form, and have it witnessed. If you check this box, your account will be paid according to the order of precedence described earlier. **Do not complete this section if you intend to name new beneficiaries in Section III.** Your new designation(s) will automatically cancel any previous designation(s) on file with the TSP.

Name:

(Last, First, Middle)

TSP Account Number:

ADDITIONAL PRIMARY BENEFICIARY DESIGNATIONS

Make a copy of this blank page to designate additional primary beneficiaries.

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation

Share: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

Name of Trustee/Executor (if applicable)

SSN/EIN/Tax ID

Date of Birth (mm/dd/yyyy)

Address:

☐ Foreign address?
Check here.

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation

Share: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

Name of Trustee/Executor (if applicable)

SSN/EIN/Tax ID

Date of Birth (mm/dd/yyyy)

Address:

☐ Foreign address?
Check here.

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation

Share: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

Name of Trustee/Executor (if applicable)

SSN/EIN/Tax ID

Date of Birth (mm/dd/yyyy)

Address:

☐ Foreign address?
Check here.

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation

Share: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

Name of Trustee/Executor (if applicable)

SSN/EIN/Tax ID

Date of Birth (mm/dd/yyyy)

Address:

☐ Foreign address?
Check here.

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation

Share: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

Name of Trustee/Executor (if applicable)

SSN/EIN/Tax ID

Date of Birth (mm/dd/yyyy)

Address:

☐ Foreign address?
Check here.

Participant Signature

Date Signed (mm/dd/yyyy)

Witness Signature

Date Signed (mm/dd/yyyy)

☐ Check here if naming more
primary beneficiaries. (See
instructions for submitting
additional pages.)

Do Not Write In This Section

FORM TSP-3, Page 2 (5/2017)

PREVIOUS EDITIONS OBSOLETE

FORM TSP-3, INFORMATION AND INSTRUCTIONS FOR PAGES 1 AND 2 (continued)

SECTION III—Primary Beneficiary Designations. You may name any person, a trust, your estate, or a legal entity/corporation as a beneficiary. **Note:** If the beneficiary is a minor child, benefits will be made payable directly to the child. To designate a custodian for your minor child, you may want to consider using a Uniformed Transfer to Minors Act (UTMA) form. Contact the ThriftLine for additional information about this form.

Enter the share for each beneficiary as a whole percentage. Percentages for the primary beneficiaries **must total 100%.** Do not use fractions or decimals.

To name a **primary** beneficiary:

- Check the box that indicates the beneficiary's relationship to you.
- For each individual you designate, enter the full name, share, address, and date of birth or Social Security number (SSN) or other tax ID (such as an Employer Identification Number [EIN]).
- If the beneficiary is a trust, check the box marked "Trust." Enter the name of the trust and the trustee's name and address in the spaces indicated. Enter the EIN, if available. Leave the date of birth boxes blank. **Note:** Filling out this form will not create a trust; you must have a trust that is already established.

- If the beneficiary is your estate, check the box marked "Estate." Enter the name of the estate and the executor's name and address in the spaces indicated. Enter the EIN, if available. Leave the date of birth boxes blank.
- If the beneficiary is a legal entity or corporation, check the box marked "Legal Entity/Corporation." Enter the name of the entity in the boxes indicated. Enter the legal representative's name in the boxes marked "Trustee/Executor," and provide the legal representative's address. Enter the EIN, if known. Leave the date of birth boxes blank.

If you are naming more than 3 primary beneficiaries, use Page 2 of this form. Use photocopies of a blank Page 2 if you are naming more than that page allows. Enter your name and TSP account number on the top of each page, and follow the instructions for completing Section III. **You must sign and date all additional pages. The same witness who signed Page 1 must also sign and date all pages that you submit to the TSP.**

If you want to designate contingent beneficiaries, complete Section V on Page 3.

EXAMPLES. Below are examples of how to designate primary beneficiaries.

EXAMPLES OF DESIGNATING PRIMARY BENEFICIARIES

DESIGNATING MULTIPLE PRIMARY BENEFICIARIES

Relationship to you: ☐ Spouse ☒ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation Share: %

GREENWOOD ASHLEY DANIELLE

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) SSN/EIN/Tax ID

Name of Trustee/Executor (if applicable) Date of Birth (mm/dd/yyyy)

Address: Foreign address? ☐ Check here.

Relationship to you: ☒ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation Share: %

POINTER MARY JANE

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) SSN/EIN/Tax ID

Name of Trustee/Executor (if applicable) Date of Birth (mm/dd/yyyy)

Address: Foreign address? ☐ Check here.

Relationship to you: ☐ Spouse ☒ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation Share: %

JOHNSON CHRISTOPHER ANDREW

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) SSN/EIN/Tax ID

Name of Trustee/Executor (if applicable) Date of Birth (mm/dd/yyyy)

Address: Foreign address? ☐ Check here.

DESIGNATING A TRUST

Relationship to you: ☐ Spouse ☐ Other Individual ☒ Trust ☐ Estate ☐ Legal Entity/Corporation Share: %

JOHN P MANO TRUST

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) SSN/EIN/Tax ID

ERIC P MANO Date of Birth (mm/dd/yyyy)

Name of Trustee/Executor (if applicable) Address: Foreign address? ☐ Check here.

DESIGNATING AN ESTATE

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☒ Estate ☐ Legal Entity/Corporation Share: %

ESTATE OF RUTH R JONES

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) SSN/EIN/Tax ID

MARLA MCCOY Date of Birth (mm/dd/yyyy)

Name of Trustee/Executor (if applicable) Address: Foreign address? ☐ Check here.

DESIGNATING A LEGAL ENTITY/CORPORATION

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☒ Legal Entity/Corporation Share: %

THE XYZ FOUNDATION

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) SSN/EIN/Tax ID

ELEANOR JARVIS Date of Birth (mm/dd/yyyy)

Name of Trustee/Executor (if applicable) Address: Foreign address? ☐ Check here.

SECTION IV—Signatures. Sign and date the form on all pages on the same date. Do not ask an individual you name as a beneficiary of your TSP account to witness your Form TSP-3. A person named as a primary or contingent beneficiary of your TSP account who is also your witness **cannot** receive a share of the account. The witness must be age 21 or older.

PRIVACY ACT NOTICE. We are authorized to request the information you provide on this form under 5 U.S.C. chapter 84, Federal Employees Retirement System. We will use this information to identify your TSP account and to process your request. In addition, this information may be shared with other federal agencies for statistical, auditing, or archiving purposes. We may share the information with law enforcement agencies investigating a violation of civil or criminal law, or agencies implementing a statute, rule,

or order. It may be shared with congressional offices, private sector audit firms, spouses, former spouses, and beneficiaries, and their attorneys. We may disclose relevant portions of the information to appropriate parties engaged in litigation and for other routine uses as specified in the Federal Register. You are not required by law to provide this information, but if you do not provide it, we will not be able to process your request.

Form TSP-3 [5/2017]
PREVIOUS EDITIONS OBSOLETE

Name:

(Last, First, Middle)

TSP Account Number:

V. CONTINGENT BENEFICIARY DESIGNATIONS—Each contingent beneficiary must be linked to a primary beneficiary. You cannot link a contingent beneficiary to another contingent beneficiary. Make a copy of this blank page to designate additional contingent beneficiaries.

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/CorporationShare: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

Name of Trustee/Executor (if applicable)

SSN/EIN/Tax ID

Date of Birth (mm/dd/yyyy)

Address: _____

☐ Foreign address?
Check here.

Contingent to which primary beneficiary?

Name (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

SSN/EIN/Tax ID or Date of Birth

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/CorporationShare: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

Name of Trustee/Executor (if applicable)

SSN/EIN/Tax ID

Date of Birth (mm/dd/yyyy)

Address: _____

☐ Foreign address?
Check here.

Contingent to which primary beneficiary?

Name (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

SSN/EIN/Tax ID or Date of Birth

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/CorporationShare: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

Name of Trustee/Executor (if applicable)

SSN/EIN/Tax ID

Date of Birth (mm/dd/yyyy)

Address: _____

☐ Foreign address?
Check here.

Contingent to which primary beneficiary?

Name (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

SSN/EIN/Tax ID or Date of Birth

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/CorporationShare: %

Name of Individual (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

Name of Trustee/Executor (if applicable)

SSN/EIN/Tax ID

Date of Birth (mm/dd/yyyy)

Address: _____

☐ Foreign address?
Check here.

Contingent to which primary beneficiary?

Name (Last, First, Middle)/Trust/Estate/Legal Entity or Corporation

SSN/EIN/Tax ID or Date of Birth

Participant Signature

Date Signed (mm/dd/yyyy)

Witness Signature

Date Signed (mm/dd/yyyy)

☐ Check here if naming more
contingent beneficiaries. (See
instructions for submitting
additional pages.)

Do Not Write In This Section

FORM TSP-3, Page 3 (5/2017)

PREVIOUS EDITIONS OBSOLETE

FORM TSP-3, INFORMATION AND INSTRUCTIONS FOR PAGE 3

SECTION V—Contingent Beneficiary Designations. Do not complete this page if you are not naming contingent beneficiaries. You may designate one or more contingent beneficiaries for each primary beneficiary you name. **The contingent beneficiary(ies) you name will receive the portion of the TSP account that you designated for a specific primary beneficiary who dies before you do.**

Example: Joe Brown is one of your two primary beneficiaries, and his share is 30% of your account. If you designate Mary Brown and Sue Brown (Joe's daughters) as his contingent beneficiaries, and each is to get 50%, each would get 50% of Joe's portion. Since Joe's share is 30% of your account, each will get 15% of your account. (You cannot designate contingent beneficiaries for contingent beneficiaries. In this case, you cannot designate contingent beneficiaries for Mary or Sue Brown.) For another example of this situation, see Example 2 below.

Check the box that indicates the contingent beneficiary's relationship to you. If you are only naming one contingent beneficiary for a primary beneficiary, the share for that contingent beneficiary must be 100%. If you name more than one contingent beneficiary for a primary beneficiary, the combined share values for those contingent beneficiaries must equal 100%.

Provide the identifying information for contingent beneficiaries according to the instructions for designating primary beneficiaries

In Section III. For each contingent beneficiary you designate, enter the full name, share, address, and Social Security number (SSN) or other tax ID (such as Employer Identification Number [EIN]). If you do not have all the requested information, you must provide at least the primary beneficiary's name and share. You must also provide the primary beneficiary's name and tax ID information (e.g., SSN or EIN, if available) or date of birth.

If you want to name the same contingent beneficiary for multiple primary beneficiaries, list your contingent beneficiary multiple times in order to link it to each primary beneficiary.

If you are naming more contingent beneficiaries than will fit on one page, photocopy a blank Page 3 of this form. Enter your name and TSP account number on the top of each page and follow the instructions for completing Section V. **You must sign and date all additional pages. The same witness who signed Page 1 must also sign and date all pages that you submit to the TSP.**

Note: If a named beneficiary dies, you may prefer to submit another Form TSP-3 to change your designation(s).

EXAMPLES. Below are examples of how to designate contingent beneficiaries.

EXAMPLES OF DESIGNATING CONTINGENT BENEFICIARIES

EXAMPLE 1

Relationship to you: ☐ Spouse ☒ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation Share: 100%

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) GREENWOOD TAYLOR GRACE SSN/EIN/Tax ID 974 02 3941

Name of Trustee/Executor (if applicable) 3/18/2003 Date of Birth (mm/dd/yyyy)

Address: 1066 CHURCHILL LANE, TUCSON, AZ 85735-3003 Foreign address? Check here.

Contingent to which primary beneficiary? GRACE GREENWOOD ASHLEY DANIELLE 926 35 8072 SSN/EIN/Tax ID or Date of Birth

In the above example, if the primary beneficiary, Ashley Danielle Greenwood, dies before you do, Taylor Grace Greenwood would receive 100% of her share when you die. Thus, if Ashley's share is 33% of your account, Taylor would receive that 33% share.

EXAMPLE 2

Relationship to you: ☐ Spouse ☒ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation Share: 50%

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) HALT RICHARD ALAN 926 35 8072 SSN/EIN/Tax ID

Name of Trustee/Executor (if applicable) 5/26/1955 Date of Birth (mm/dd/yyyy)

Address: 1492 MARGOLD AVENUE, ROCKLAWN, CA 94510-9876 Foreign address? Check here.

Contingent to which primary beneficiary? POINTER MARY JANE 915 99 2135 SSN/EIN/Tax ID or Date of Birth

Relationship to you: ☐ Spouse ☒ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation Share: 50%

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) HALT LISA ELAINE 942 26 7892 SSN/EIN/Tax ID

Name of Trustee/Executor (if applicable) 12/6/1962 Date of Birth (mm/dd/yyyy)

Address: 2007 IRIS COURT, ROCKLAWN, CA 94510-9877 Foreign address? Check here.

Contingent to which primary beneficiary? POINTER MARY JANE 915 99 2135 SSN/EIN/Tax ID or Date of Birth

In the above example, if the primary beneficiary, Mary Jane Pointer, dies before you do, Richard Alan Halt and Lisa Elaine Halt would each receive 50% of her share. In other words, if Mary Jane Pointer's share is 33% of your account balance, they would each get 50% of what Mary Jane would have received—not 50% of your account.

EXAMPLE 3

Relationship to you: ☐ Spouse ☐ Other Individual ☐ Trust ☒ Estate ☐ Legal Entity/Corporation Share: 100%

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) ESTATE OF BETSY A. LUCAS SSN/EIN/Tax ID

Name of Trustee/Executor (if applicable) TIMOTHY REELS 903 24 7652 SSN/EIN/Tax ID or Date of Birth

Address: 92 OAK STREET, BOISE, ID 83709-2143 Foreign address? Check here.

Contingent to which primary beneficiary? WILLIAMS SIDNEY STEVEN 903 24 7652 SSN/EIN/Tax ID or Date of Birth

In the above example, if the primary beneficiary, Sidney Steven Williams, dies before you do, the estate of Betsy A. Lucas would receive 100% of his share when you die. Thus, if Sidney's share is 60% of your account, Betsy's estate would receive that 60% share.

EXAMPLE 4

Relationship to you: ☐ Spouse ☒ Other Individual ☐ Trust ☐ Estate ☐ Legal Entity/Corporation Share: 100%

Name of Individual (Last, First, Middle/Trust/Estate/Legal Entity or Corporation) SANTOS JENNIFER MARIA 971 08 6234 SSN/EIN/Tax ID

Name of Trustee/Executor (if applicable) 11/30/1983 Date of Birth (mm/dd/yyyy)

Address: 6543 ARKANSAS DRIVE, CHICAGO, IL 60601-1748 Foreign address? Check here.

Contingent to which primary beneficiary? JEROME WHEELIS TRUST 903 24 7652 SSN/EIN/Tax ID or Date of Birth

In the above example, if the primary beneficiary, the Jerome Wheelis Trust, is terminated before your death, Jennifer Maria Santos would receive the entire share that you designated for the Jerome Wheelis Trust.

MANAGEMENT INFORMATION

MERIT SYSTEMS PRINCIPLES

MERIT SYSTEM PRINCIPLES

FACT SHEET

What are the Merit System Principles?

The Merit System Principles are nine basic standards governing the management of the executive branch workforce. The principles are part of the Civil Service Reform Act of 1978, and can be found at 5 U.S.C. § 2301(b)

1. Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a work force from all segments of society, and selection and advancement should be determined solely on the basis of relative ability, knowledge and skills, after fair and open competition which assures that all receive equal opportunity.
2. All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights.
3. Equal pay should be provided for work of equal value, with appropriate consideration of both national and local rates paid by employers in the private sector, and appropriate incentives and recognition should be provided for excellence in performance.
4. All employees should maintain high standards of integrity, conduct, and concern for the public interest.
5. The Federal work force should be used efficiently and effectively.
6. Employees should be retained on the basis of adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards.
7. Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance.
8. Employees should be--
 - A. protected against arbitrary action, personal favoritism, or coercion for partisan political purposes, and
 - B. prohibited from using their official authority or influence for the purpose of interfering with or affecting the result of an election or a nomination for election.
9. Employees should be protected against reprisal for the lawful disclosure of information which the employees reasonably believe evidences--
 - A. a violation of any law, rule, or regulation, or
 - B. mismanagement, a gross waste of funds, an absence of authority, or a substantial and specific danger to public health or safety.

PROHIBITED PERSONNEL PRACTICES

PROHIBITED PERSONNEL PRACTICES (5 USC § 2302(B))

What is the significance of the PPPs and where do they come from?

Since the 1883 Pendleton Act, Congress has attempted to assure good government by enacting laws that require or prohibit certain actions by Government agencies and employees. These reforms began with laws that limited political influence in employment and grew over the years to establish rules for what must or must not be done in many areas of Government employment. It was not until the Civil Service Reform Act of 1978 (CSRA), Pub. L. No. 95-454, 92 Stat. 1111, however, that a comprehensive list of 11 PPPs, now expanded to 13, was enacted into law. 5 U.S.C. § 2302(b)(1)-(12). Unlike the merit system principles, Congress made the prohibition of these personnel practices enforceable, so that employees would know of them and could be disciplined for committing a PPP. H. Rep. No. 95-1403, 95th Cong, 2d Sess. at 4 (1978). When President Carter transmitted to Congress his recommendations for civil service reform, he spoke of the problems he wanted to remedy in doing so and what he hoped to achieve as a result, including the desire "[t]o strengthen the protection of legitimate employee rights;" to "guarantee independent and impartial protection to employees" by establishing the MSPB; and to "help safeguard the rights of Federal employees who 'blow the whistle' on violations of laws or regulations by other employees, including their supervisors." President's Message of March 2, 1978, reprinted in H. Rep. No. 95-1403 at 98-100. The PPPs and the mechanisms established to enforce them are intended to achieve those ends.

Any employee who has authority to take, direct others to take, recommend, or approve any personnel action, shall not, with respect to such authority –

1. discriminate for or against any employee or applicant for employment –
 - A. on the basis of race, color, religion, sex, or national origin, as prohibited under section 717 of the Civil Rights Act of 1964 (42 U.S.C. 2000e–16);
 - B. on the basis of age, as prohibited under sections 12 and 15 of the Age Discrimination in Employment Act of 1967 (29 U.S.C. 631, 633a);
 - C. on the basis of sex, as prohibited under section 6(d) of the Fair Labor Standards Act of 1938 (29 U.S.C. 206 (d));
 - D. on the basis of handicapping condition, as prohibited under section 501 of the Rehabilitation Act of 1973 (29 U.S.C. 791); or
 - E. on the basis of marital status or political affiliation, as prohibited under any law, rule, or regulation;
2. solicit or consider any recommendation or statement, oral or written, with respect to any individual who requests or is under consideration for any personnel action unless such recommendation or statement is based on the personal knowledge or records of the person furnishing it and consists of –

- A. an evaluation of the work performance, ability, aptitude, or general qualifications of such individual; or
- B. an evaluation of the character, loyalty, or suitability of such individual;
- 3. coerce the political activity of any person (including the providing of any political contribution or service), or take any action against any employee or applicant for employment as a reprisal for the refusal of any person to engage in such political activity;
- 4. deceive or willfully obstruct any person with respect to such person's right to compete for employment;
- 5. influence any person to withdraw from competition for any position for the purpose of improving or injuring the prospects of any other person for employment;
- 6. grant any preference or advantage not authorized by law, rule, or regulation to any employee or applicant for employment (including defining the scope or manner of competition or the requirements for any position) for the purpose of improving or injuring the prospects of any particular person for employment;
- 7. appoint, employ, promote, advance, or advocate for appointment, employment, promotion, or advancement, in or to a civilian position any individual who is a relative (as defined in section 3110 (a)(3) of this title) of such employee if such position is in the agency in which such employee is serving as a public official (as defined in section 3110 (a)(2) of this title) or over which such employee exercises jurisdiction or control as such an official;
- 8. take or fail to take, or threaten to take or fail to take, a personnel action with respect to any employee or applicant for employment because of –
 - A. any disclosure of information by an employee or applicant which the employee or applicant reasonably believes evidences –
 - i. a violation of any law, rule, or regulation, or
 - ii. gross mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, if such disclosure is not specifically prohibited by law and if such information is not specifically required by Executive order to be kept secret in the interest of national defense or the conduct of foreign affairs; or
 - B. any disclosure to the Special Counsel, or to the Inspector General of an agency or another employee designated by the head of the agency to receive such disclosures, of information which the employee or applicant reasonably believes evidences –

- i. a violation of any law, rule, or regulation, or
 - ii. gross mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety;
- 9. take or fail to take, or threaten to take or fail to take, any personnel action against any employee or applicant for employment because of —
 - A. the exercise of any appeal, complaint, or grievance right granted by any law, rule, or regulation —
 - (i) with regard to remedying a violation of paragraph (8); or
 - (ii) other than with regard to remedying a violation of paragraph (8);
 - B. testifying for or otherwise lawfully assisting any individual in the exercise of any right referred to in subparagraph (A);
 - C. cooperating with or disclosing information to the Inspector General of an agency, or the Special Counsel, in accordance with applicable provisions of law; or
 - D. for refusing to obey an order that would require the individual to violate a law;
- 10. discriminate for or against any employee or applicant for employment on the basis of conduct which does not adversely affect the performance of the employee or applicant or the performance of others; except that nothing in this paragraph shall prohibit an agency from taking into account in determining suitability or fitness any conviction of the employee or applicant for any crime under the laws of any State, of the District of Columbia, or of the United States;
- 11.
 - A. knowingly take, recommend, or approve any personnel action if the taking of such action would violate a veterans' preference requirement; or
 - B. knowingly fail to take, recommend, or approve any personnel action if the failure to take such action would violate a veterans' preference requirement; or
- 12. take or fail to take any other personnel action if the taking of or failure to take such action violates any law, rule, or regulation implementing, or directly concerning, the merit system principles contained in section 2301 of this title; or
- 13. implement or enforce any nondisclosure policy, form, or agreement, if such policy, form, or agreement does not contain the following statement: "These

provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling."

NEW PROHIBITED PERSONNEL PRACTICE

Number 13:

This recent addition to 5 U.S.C. § 2302(b) makes it a prohibited personnel practice for any employee who has authority to take, direct others to take, recommend, or approve any personnel action, to:

(13) implement or enforce any nondisclosure policy, form, or agreement, if such policy, form, or agreement does not contain the following statement: "These provisions are consistent with and do not supersede, conflict with, or otherwise alter the employee obligations, rights, or liabilities created by existing statute or Executive order relating to (1) classified information, (2) communications to Congress, (3) the reporting to an Inspector General of a violation of any law, rule, or regulation, or mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety, or (4) any other whistleblower protection. The definitions, requirements, obligations, rights, sanctions, and liabilities created by controlling Executive orders and statutory provisions are incorporated into this agreement and are controlling."

When did the 13th PPP become effective?

Section 202 of the WPEA provides that its terms "shall take effect 30 days after the date of enactment of this Act." Because the bill was signed into law on November 27, 2012, it is clear that the 13th PPP has been effective since December 27, 2012. However, there is a question about whether the WPEA should be applied retroactively, meaning whether it should apply to appeals pending before the Board and the U.S. Court of Appeals for the Federal Circuit on December 27, 2012, no matter when the personnel action on which the claim is based occurred, or only to personnel actions and prohibited conduct that occurred on or after that date. In a

notice published in the Federal Register, An accessible version of this document may exist, [click here](#) to access that version 78 F.R. 943178 F.R. 9431 (February 8, 2013), the Board gave the public an opportunity to provide briefing on the issue, called *amicus curiae* (“friends of the court”) briefs. The Board is now considering the matter.

RECORD MANAGEMENT

DEPARTMENT OF JUSTICE
OFFICE OF RECORDS MANAGEMENT POLICY
DIRECTIVES MANAGEMENT PROGRAM

FAQs

What is a directive?

A Department of Justice directive is a formal administrative order, policy statement, or instruction that establishes, communicates, and institutionalizes policies, requirements, responsibilities, and procedures. It must be signed and dated by the Attorney General, the Deputy Attorney General, the Assistant Attorney General for Administration (AAG/A), a Deputy AAG/A, or a staff director.

What is the Directives Management Program?

The Directives Management Program provides a formalized, automated method to develop, vet, publish, and cancel administrative policies. All Department offices, boards, divisions, and bureaus use this Program for administrative directives that affect multiple components. The program provides a centralized repository of active and inactive directives.

Does the Directives Management Program cover mission directives?

No. The Program covers only administrative directives. It does not manage Attorney General Orders and guidelines, leadership memoranda, or other mission guidance.

Who do we contact if we need to develop a new directive or if we need to cancel a directive?

Contact the Department Directives Manager at: Jeanette.Plante@usdoj.gov

What is the role of the Attorney General or Deputy Attorney General in the directive process?

If an administrative policy applies to all components and addresses a priority of the Attorney General or the Deputy Attorney General, one of them will sign the directive. For example, the Attorney General signed the *Prevention of Harassment in the Workplace* policy memo. For most directives, however, the AAG/A, one of his deputies, or a staff director signs.

The offices of the Attorney General and the Deputy Attorney General have designated points of contact for the Directives Management Program, and these contacts are notified when a draft directive is ready for vetting. These staff members review the draft

directives and provide edits or comments on behalf of the Attorney General and the Deputy.

Where can I find a current or cancelled directive?

- Active directives are posted to the DOJ directives electronic repository at:
<https://portal.doj.gov/sites/dm/dm/Pages/Home.aspx>
- Cancelled directives that were issued prior to 2012 can be found at:
dojnet.doj.gov/directives
- Cancelled directives that were issued after 2012 can be found at:
<https://portal.doj.gov/sites/dm/dm/SitePages/Cancelled%20Directives.aspx>

Authority

The Directives Management Program is derived from 28 C.F.R. Ch.1 (i), which directs the AAG/A to “Develop and direct a Department-wide directives management program and administer the directives management system.”

References

0401 - Directives Management Order
(<https://portal.doj.gov/sites/dm/dm/Directives/0401.pdf>)

0401.00.01 - Directives Management Procedure Guide
(<https://portal.doj.gov/sites/dm/dm/Directives/0401.00.01.pdf>)

DEPARTMENT OF JUSTICE
OFFICE OF RECORDS MANAGEMENT POLICY
DIRECTIVES MANAGEMENT PROGRAM

What is a Federal Record?

A Federal Record is "...all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of the data in them." (44 U.S.C. 3301) Electronic information such as emails, electronic documents, databases, social media communications, and other electronic information is included within this definition.

What is Records Management?

It is the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved in records creation, maintenance and use, and disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations (44 U.S.C. 2901).

What is the Department's Records and Information Management (RIM) Program?

The Office of Records Management Policy serves as the Program Office for the Department's RIM Program and provides high-level overarching policies, and procedures for the Department as a whole to meet the requirements of the Federal Records Act for all Components of the Department. Component RIM programs that implement the Departmental guidance through Component-specific policies, practices, and procedures that also meet Component mission goals.

Who has responsibility for the RIM Program?

The Director of ORMP has delegated responsibility for the development and management of the Department's RIM Program, and serves as the Department's Records Officer.

What are Component RIM Program responsibilities?

Each Component must develop and implement a records management program for the Component that is consistent with statutory and regulatory requirements, and is in accordance with DOJ Order 0801 and Departmental records policies and procedures. Component RIM Programs are headed by a Records Manager, or Bureau Records Officer as described in DOJ Order 080.

What are Records Managers' responsibilities?

Records Managers and component Records Officers must establish and maintain an active, continuing program for the economical and efficient management of the records of the component. (44 U.S.C. 3102). The component -level program should provide for the adequate and proper documentation of the organization, functions, policies, decisions, procedures, and

essential transactions of the component. These records must furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities. (44 U.S.C. 3101)

What are the responsibilities of the Office of the Chief Information Officer (OCIO)?

OCIO provides leadership to the Department and its Components on issues related to electronic records management and system development, consistent with statutory, regulatory, and policy requirements.

Who does RIM affect?

The RIM Program policies apply to all staff and contractors.

What are significant Issues, mandates, and constraints?

- OMB/NARA M-12-18 Managing Government Records Directive, sets deadlines for moving to electronic recordkeeping as follows:
 - Maintain permanent electronic records electronically by 2019
 - Manage all email electronically by 2016
- Significant constraints include insufficient staffing and lack of sufficient funding

Authorities:

44 U.S.C. §3101, 3102, 3301 *et seq.*

44 U.S.C. §2901

36 C.F.R. §1220.30, 1223, 1226 *et seq.*

DOJ Order 0801 Records and Information Management,
<https://portal.doj.gov/sites/dm/dm/Directives/0801.pdf>

OMB Circular A-130

Resources:

ORMP FAQs <https://dojnet.doj.gov/jmd/ormp/faqs.php>

DEPARTMENT OF JUSTICE
OFFICE OF RECORDS MANAGEMENT POLICY
PRESERVATION MANAGEMENT PROGRAM

What is Preservation Management?

The management activities associated with the need to identify and preserve information in response to active or reasonably anticipated civil litigation, and other Departmental requirements to preserve information, such as FOIA requests, congressional requests or Office of Inspector General requests.

What is the Preservation Management Program?

The Justice Management Division (JMD) Preservation Management Program (the Preservation Program) supports the Department's need to identify, access, and preserve information (collectively referred to as "Preservation obligations") captured and created by the Senior Leadership Offices (SLOs), JMD and certain other offices for which JMD maintains information (see list below). These requirements arise from FOIA requests, active or reasonably anticipated litigation, investigations, congressional requests, and other departmental requirements to preserve information.

The Preservation Program is responsible for the development and implementation of preservation administrative and operational policy, as well as the information technology and business processes that result in a disciplined approach to the management of requests for Department of Justice information.

Whom does the Preservation Program support?

The Preservation Program supports all departmental personnel that have a business requirement for information from SLO, JMD, and the offices listed below. This frequently includes requests from the Office of the Inspector General, the Office of Information and Privacy (FOIA), the Senior Leadership Offices, and attorneys in the litigating divisions.

How does Preservation Program affect staff and contractors?

The Preservation Program will assist staff in preserving information where there is a business requirement and, in particular, will assist attorneys in the litigating divisions in placing legal holds on information.

Staff or contractors whose information is subject to a legal hold must adhere to the the legal hold guidance. While there is always a duty to maintain and retain Department records for their scheduled periods of retention, an additional duty to preserve may arise, particularly, as a result of litigation, in response to reasonably anticipated litigation, or in response to court ordered preservation.

Staff and contractors with a business requirement for preserved information should contact the Preservation Program for assistance (see contact information below) and should follow the procedures from DOJ Order 0802, Management of Preservation Responsibilities (the Preservation Order), which include providing notice to other components with potentially relevant information.

What are significant Preservation Management issues, mandates and constraints?

The ever increasing amount of electronically stored information requires continued and increased investment in equipment, personnel, and training to meet the Preservation Program requirement. These requirements include:

- Development of policies and processes to meet requirements as technologies continuously evolve.
 - Maintenance of sufficient data storage for current known requirements
- Expandable data storage to meet anticipated growth in day-to-day storage requirements and to meet atypical high volume Preservation Obligations
- Regular and reliable backup of information
- Software tools and appliances for timely identification, preservation, and production of requested information

Authorities:

DOJ Order 0802, Management of Preservation Responsibilities

44 U.S.C. §§ 3101-3107 (The Federal Records Act)

28 C.F.R. §§ 0.75-0.79

36 C.F.R. §§1220.1-1220.34

Resources:

DOJ Order 0802, Management of Preservation Responsibilities

<https://portal.doj.gov/sites/dm/dm/Directives/0802.pdf>

Information maintained by JMD:

Unclassified Electronic Information Maintained by PMT	
All Justice Management Division Offices	Office of Legal Counsel
Access to Justice	Office of Legal Policy
Executive Office for Organized Crime Drug Enforcement Task Forces	Office of Legislative Affairs
Foreign Claims Settlement Commission	Office of the Associate Attorney General (SLO)
National Security Division	Office of the Attorney General (SLO)
Office for Dispute Resolution	Office of the Deputy Attorney General (SLO)
Office of Community Oriented Policing Services	Office of the Pardon Attorney
Office of Intergovernmental and Public Liaison	Office of the Solicitor General
Office of Privacy and Civil Liberties	Office of Tribal Justice
Office of Public Affairs	Office on Violence Against Women
Office of Information Policy	Professional Responsibility Advisory Office

For more information or to preserve information contact Dawn Devitt and Rob Zanger:

NAME	TITLE	ROOM #	Office Phone/IC #	Office Cell Phone	Office Email
Dawn Devitt	Team Lead	8W.206 2CON	202-305-3993	202-598-9867	dawn.devitt@usdoj.gov
Robert Zanger	Assistant Director, ORMP	8W.1403 2CON	202-598-2072	202-305-5071	robert.m.zanger@usdoj.gov

ETHICS



U.S. Department of Justice
Justice Management Division
Departmental Ethics Office

Washington, D.C. 20530

MEMORANDUM

TO: Department of Justice Political Appointees

FROM: Cynthia K. Shaw, Director
Departmental Ethics Office

SUBJECT: Welcome to the Department of Justice

On behalf of the Departmental Ethics Office, welcome to the Department of Justice. The Departmental Ethics Office administers the Department-wide ethics program and implements the Department-wide policies on ethics issues, as well as provides advice and training to employees. In addition, each component has a **Deputy Designated Agency Ethics Official** who administers the ethics program for employees within that component.

As a Federal employee, you have a responsibility to the United States Government and its citizens to place loyalty to the Constitution, laws, and ethical principles above private gain. Attached is a summary of the ethics rules for new employees in the Department. Additional information on the Standards of Ethical Conduct for Employees of the Executive Branch and the Department of Justice Supplemental Standards of Conduct is available on the Departmental Ethics Office website, <https://www.justice.gov/jmd/departamental-ethics-office>.

Each new appointee of the Department will receive initial ethics training shortly after entering on duty. If you have questions before then, please contact our office or the ethics official in your component for advice. A list of ethics officials for each component is attached. You may reach the Departmental Ethics Office on (202) 514-8196.

Attachments

Department of Justice Deputy Designated Agency Ethics Officials

Office of the Attorney General, Office of the Deputy Attorney General, Office of the Associate Attorney General, and Office of the Solicitor General

Justice Management Division, Office of Public Affairs, Office of Tribal Justice, and Office for Access to Justice

Cynthia Shaw, Director
Departmental Ethics Office
202-514-8196

Antitrust Division

Nina Hale, Ethics Officer
202-307-0892

Bureau of Alcohol, Tobacco, Firearms and Explosives

Joel Roessner, Deputy Chief Counsel
202-648-7058

Bureau of Prisons

Jerome (Sam) Tarver, Associate General Counsel
202-598-8185

Civil Division

Michael Granston, Chief Counsel, Fraud Section
202-307-0231

Civil Rights Division

John Buchko, Deputy Section Chief
202-305-1528

Community Relations Service

Antoinette Barksdale, General Counsel
202-305-2964

COPS Program

Jenny Wu, Attorney Advisor
202-514-9424

Criminal Division

Robin Gold, Attorney Advisor
202-616-0743

Drug Enforcement Administration

Wendy Goggin, Chief Counsel
202-307-7322

Environmental and Natural Resources Division

Karen Wardzinski, Chief,
Law and Policy Section
202-514-0474

Executive Office for Immigration Review

Brigitte Frantz, Associate General Counsel
703-305-0470

Executive Office for United States Attorneys

Jay Macklin, General Counsel
202-252-1600

Executive Office for United States Trustees

Ramona Elliott, General Counsel
202-353-4206

Federal Bureau of Investigations

Patrick W. Kelley, Deputy General Counsel
202-324-6110

Foreign Claims Settlement Commission

Brian Simkin, Chief Counsel
202-616-6978

INTERPOL

Kevin Smith, General Counsel
202-616-4103

National Security Division

Arianne Tice, Attorney Advisor
202-514-0898

Office of Information and Privacy

Vanessa Brinkmann, Attorney Advisor
202-616-5462

Office of the Inspector General

William Blier, General Counsel
202-616-0646

Office of Justice Programs

Charles Moses, Dep. General Counsel
202-305-2536

Office of Legal Counsel

Daniel L. Koffsky, DAAG
202-514-2030

Office of Legal Policy

Kevin R. Jones, Dep. Asst. Attorney Gen.
202-514-4604

Office of Legislative Affairs

Faith Burton, Special Counsel to the AAG
202-514-1653

Office of the Pardon Attorney

Larry Kupers, Deputy Pardon Attorney
202-616-6075

Office of Professional Responsibility

Mark Fraase, Assistant Counsel
202-514-3365

Office on Violence Against Women

Jennifer Kaplan, Attorney Advisor
202-514-0052

Professional Responsibility Advisory Office

Robert Berger, Attorney Advisor
202-514-0458

Tax Division

Eileen Shatz, Sr. Legislative Counsel
202-307-6419

United States Marshals Service

Gerald Auerbach, General Counsel
202-307-9054

United States Parole Commission

Sharon Gervasoni, Attorney Advisor
202-346-7000

1/10/2017

AMERICAN
OVERSIGHT

DOJ-17-0211-B-000176



U.S. Department of Justice
Justice Management Division
Departmental Ethics Office

Washington, D.C. 20530

January 2017

SUMMARY OF GOVERNMENT ETHICS RULES
FOR NEW DEPARTMENT OFFICIALS

Laws and Regulations

Most of the ethics restrictions are found in sections 202 to 209 of Title 18 of the U.S. Code and in Executive Order 12674 as modified by EO 12731. The Executive Order is implemented by regulations at 5 CFR 2635. The Justice Department has supplemented these Executive branch-wide regulations with specific rules that apply to Department employees at 5 CFR 3801. This document is only a summary. You should refer to the actual laws and regulations cited below when you have a question. The laws and rules implement the foundational principle that public service is a public trust, and federal employees have a responsibility to the United States Government and its citizens to place loyalty to the Constitution, laws, and ethical principles above private gain.

Seeking Advice

The Designated Agency Ethics Official (DAEO) for the Department is the Assistant Attorney General for Administration, and the Alternate DAEO is the Deputy Assistant Attorney General, Management, Policy and Planning, Justice Management Division. The ethics program is managed centrally by the Departmental Ethics Office, which coordinates the Department program through a network of Deputy DAEOs in all components. You may call the ethics office at (202) 514-8196 for general advice or to obtain the name and telephone number of your Deputy DAEO, who will be your main source of information and advice on the rules discussed below. You will receive approval and waivers referred to in this document from your determining official¹ in concurrence with your Deputy DAEO.

Employees will not be subject to disciplinary action for violating the standards of conduct for actions taken in reliance on the advice of an ethics official as long as you provide the ethics official with all the relevant facts concerning your proposed action.

¹ For most employees, the determining official is the head of their component (e.g., Division, Bureau, Office). The Deputy Attorney General is the determining official for component heads reporting to him/her, for the Attorney General, Associate Attorney General and for employees in the Office of the Attorney General. The Associate Attorney General is the determining official for component heads reporting to him/her and for the Deputy Attorney General. The determining officials for U.S. Attorneys and for U.S. Trustees and their employees are the Directors of their respective Executive Offices.

In addition, attorneys must consider and abide by the requirements of the relevant Rules of Professional Responsibility that apply to them.

Conflicts of Interest

The governing statute on financial conflicts of interest is 18 U.S.C. § 208. It prohibits participating in matters that affect your financial interests as well as those of your spouse, minor child, or a general partner; an organization which you serve as an officer, director, trustee, partner or employee; or an organization you are negotiating with for future employment.

Certain financial interests are exempt from § 208. They include holdings in a diversified mutual fund, interests in certain employee benefit plans, and interests in publicly-traded securities that do not exceed \$15,000 when participating in a matter having parties and \$25,000 (\$50,000 for all affected interests) when participating in a matter of general applicability. A determining official may also grant an individual waiver when an interest is not large. One remedy used to resolve a conflict is disqualification (recusal) from participation in the matter. You also may be required to sell an asset, but if you are, you may qualify for a tax deferral on gains from an asset sold to prevent a conflict of interest. 5 CFR 2634.1001-.1004.

If you have a continuing financial interest in your former employer, to include a law firm, you would have to disqualify yourself from or seek and obtain a waiver for any matter affecting the former employer's interests. If your spouse is a partner in, or owner of, a firm, you also would have to disqualify yourself or seek and obtain a waiver before participating in any matter affecting that firm. You should not acquire conflicting assets during your service at DOJ.

Impartiality in Performing Duties

The standards of conduct address matters that do not affect your financial interests but which could reflect on your impartiality. You may not participate, without written authorization, in a particular matter involving specific parties which you know is likely to affect the financial interests of a member of your household. You also may have to disqualify yourself from a matter if someone with whom you have a personal or business relationship is a party or represents a party to the matter. This would include a former employer, even without a continuing financial interest, and your former clients, for a minimum of one year; an organization you worked for actively in the last year, and your spouse's employer. 5 CFR 2635.501 & .502.

If you are an attorney, you would have to disqualify yourself from any matter in which you participated before entering government. In all but the rarest cases, you would not be allowed to remain on leave of absence from a law firm while serving in the Justice Department.

If you received a payment in excess of \$10,000 from a former employer prior to entering government service that is not part of an established benefits program, you will have to disqualify yourself for two years from any matter in which your former employer is a party or

represents a party. 5 CFR 2635.503.

Financial Disclosure

Officials appointed by the President, members of the Senior Executive Service, and most Schedule C employees will be required to submit an initial financial disclosure report and annual reports thereafter that are available to the public. Such officials are notified each year of the requirement to file an annual report by May 15. One more report must be filed upon leaving government service. Reports are filed through an electronic system called Integrity.

Outside Activities in General

Generally, you should not engage in outside employment that conflicts with your duties. 5 CFR 2635.802. A Justice Department rule prohibits the outside practice of law unless it is uncompensated and in the nature of community service or on behalf of yourself, your parents, spouse or children. You are also prohibited from engaging in employment that involves a criminal matter or a matter in which the Department is or represents a party. Certain of these prohibitions may be waived by the Deputy Attorney General in unusual cases. You must obtain approval for the outside practice of law that is not otherwise prohibited (e.g., pro bono representation) and any outside employment, including unpaid service as an officer or board member, which are related to the responsibilities of your component. 5 CFR 3801.106. Certain senior non-career (political) appointees have additional restrictions.

Representations Before the Federal Government

Generally, you may not represent someone before any court or an agency of the federal government or accept compensation for someone else's representation on a matter in which the U.S. is a party or has an interest. There are exceptions for testifying under oath, for representing yourself or members of your immediate family, for representing someone in personnel administration proceedings and for representing a nonprofit organization that is composed substantially of government employees. 18 U.S.C. §§ 203 & 205.

You may not serve as an expert witness in any proceeding before a court or agency of the U.S. in which the U.S. is a party or has an interest unless it is authorized as being in the interest of the government. 5 CFR 2635.805.

Teaching, Speaking and Writing

The following restrictions must be considered by an employee who would like to engage in teaching, speaking and writing for pay.

Presidential appointees are subject to an absolute ban on the receipt of outside earned income, which does not include income from military service, pensions, investment activities, royalties, or travel expenses. The outside earned income of a non-career official above GS-15 (SES, SL, ST) is limited to 15% of the Executive Level II salary.

Executive Order 12674, § 102 and 5 U.S.C. app. 7 § 501(a).

Employees are prohibited from accepting compensation for speaking or writing, and in some cases, teaching² that relates to official duties. These activities relate to your official duties if you were invited to speak or write because of your official position or by someone whose interests you may affect in performing your duties, if the information you convey is not publicly available, or the subject deals with:

1. Any matter to which you are presently assigned or have been assigned during the previous one-year period;
2. Any ongoing or announced policy, program or operation of the Department; or
3. **In the case of a non-career (political) employee above GS-15, the general subject matter, area, industry or economic sector primarily affected by the programs and operations of the Department. In addition, employees at this level must have approval from the Assistant Attorney General for Administration/DAEO to engage in teaching for compensation.**

There should be no use of your official title to promote your teaching, speaking or writing except for inclusion with other in biographical details or in a scholarly article with a disclaimer. 5 CFR 2635.807.

Other Restrictions on Certain Non-Career Employees

A non-career employee paid above GS-15 may not be compensated for serving as a member of a board, engaging in activities that involve a fiduciary relationship, or being employed by a firm that provides such services. Nor may he or she allow their name to be used by such an entity. 5 U.S.C. app. 7 § 502.

Fundraising

You may not engage in fundraising in your official capacity unless authorized by statute or regulation. However, you may be approved to give an official speech related to your official duties or the programs of the Department that is given at a fundraiser, provided the event is appropriate for the dissemination of official information and you do not request donations or other support for the recipient, and certain other conditions are met.

You may engage in fundraising in your personal capacity if you do not solicit funds from a subordinate or from someone who has or seeks business with the Department, and you do not use your official title. There are exceptions for solicitations using the media or mass communication if they are not **targeted** to your subordinates or persons having business with the Department. 5 CFR 2635.808.

²Most employees may accept compensation for teaching a course requiring multiple presentations as part of the curriculum of a recognized institution of learning even when the subject matter generally relates to their official duties.

Partisan Political Activities

Most employees, except career members of the Senior Executive Service (SES), administrative law judges, employees of the Criminal Division, the National Security Division and the Federal Bureau of Investigation, and all Criminal Investigators and Explosives Enforcement Officers in the Bureau of Alcohol, Tobacco, Firearms and Explosives, may participate actively in partisan campaigns. However, because of the sensitivity of the Department's law enforcement role, Attorneys General in the past have determined that Justice Department political appointees should be held to the same restrictions applicable by statute to the employees mentioned above.

All employees may vote, contribute money, sign petitions, express their views and display political stickers and buttons, except when on duty. However, no employee may solicit funds from the public or use his official authority or influence to interfere with an election. No employee may solicit or discourage the political activities of anyone with business before the Department. No employee may be a partisan candidate for office, nor engage in any political activities, to include wearing buttons, while on duty or in a government office, a government vehicle or while wearing an official uniform. 5 U.S.C. §§ 7321-26.

Purchase of Forfeited Property

You may not purchase or use any property forfeited to the government and offered for sale by the Department without a specific waiver from your determining official. 5 CFR 3801.104.

Misuse of Position

You are generally prohibited from using your public office for your own private gain or that of friends, relatives, or persons with whom you are affiliated. This includes a non-profit organization in which you hold office or are a member, and persons with whom you have, or seek, employment or business relations.

You may not use your position or title to coerce someone, including a subordinate, to provide benefits to any of the above or to imply that the government sanctions your personal activities or those of another. You are allowed to provide recommendations on request using your official position and Department stationery for someone with whom you work or have worked in the government or for someone who is seeking a government job, and about whom you have personal knowledge of their character, skills, abilities or qualifications. You may not use your public office to endorse a product or service.

You may not use nonpublic information to further your own or another's financial interests. Information designated nonpublic ranges from classified to that protected from disclosure by law, to information that has not been authorized to be made available to the public.

Generally, you may not use government property, including official time, for other than authorized purposes. You may not use the time of a subordinate for other than official duties or unless authorized by statute or regulation. 5 CFR 2635.701-.705. However, you may make personal use of equipment such as computers or library facilities as long as there is no more than a negligible expense to the government, and as long as the use does not violate security or other limitations. 28 CFR 45.4.

Acceptance of Gifts and Other Things of Value

In general, you may not accept gifts from anyone who has or seeks business with or action by the Department or an organization composed of such persons. You are also prohibited from accepting a gift given because of your official position. 5 CFR 2635.202. There are exceptions to these general prohibitions that allow acceptance in certain circumstances. However, you should remain mindful whether acceptance of a gift in a given situation may undermine the public's confidence in the operations of government, and decline otherwise permissible gifts where appropriate.

There are Exceptions to Permit Acceptance of:

1. Gifts valued at \$20 or less per occasion and a total of \$50 from one source annually;
2. Gifts based on a personal or outside business relationship;
3. Discounts and similar benefits offered to a broad group of government employees as long as there is no discrimination based on grade;
4. Awards for meritorious public service or honorary degrees from certain persons and organizations for which you may need approval;
5. Free attendance, food, and materials, from the sponsor of a conference or at a gathering of an industry or profession if your attendance is seen to further agency programs and is approved in writing; and
6. Gifts from foreign governments valued at no more than \$375. 5 U.S.C. § 7342.

Modest food and refreshments not offered as part of a meal, greeting cards and plaques, favorable rates, commercial discounts, rewards and prizes in events open to the public, and free attendance at an event on the day on which you are assigned to speak or present on behalf of the Department, are excluded from the definition of a gift. 5 CFR 2635.203.

You still may not accept gifts from the same or different sources so frequently that it would appear to be misuse of public office. And, even where an exception allows acceptance of a gift, you should always consider whether acceptance could affect the perceived integrity of you or the Department's operations.

Acceptance of Expenses for Official Travel

With approval, the Department may accept expenses for your official travel from a non-federal source for attendance at meetings and other functions, but not to carry out statutory functions. 31

U.S.C. § 1353 & 41 CFR 304.

You may use frequent flyer benefits earned from official government travel for personal travel. 41 CFR 301-53.

Supplementation of Government Salary

You may not accept compensation for your services to the government from anyone but the government. 18 U.S.C. § 209. **You are generally prohibited from accepting financial assistance from a former employer such as moving expenses or other expenses incident to entry into government service. This does not bar the receipt of benefits under bona fide employer benefit plans as long as there is no preference given for entrance into government service. You may receive payments from a former firm that are based on past service and are guaranteed as to amount and payment schedule.**

Gifts to Superiors

You may not give gifts to an official superior or solicit a contribution from another employee for a gift to a superior, except on special occasions described below. You may not accept gifts from employees receiving less pay than you, unless you are not in a superior-subordinate relationship. 5 U.S.C. § 7351.

On occasions when gifts are traditionally exchanged, such as birthdays, you may give an individual gift to a superior or accept a gift from a subordinate valued at \$10 or less. You may share refreshments to mark the occasion and give and accept gifts of personal hospitality.

On special occasions generally not related to work (except for resignation and retirement), you may make voluntary contributions of a nominal amount for a gift to a superior or for shared refreshments. 5 CFR 2635.301-.304.

Seeking Other Employment

Under the standards of conduct, you are required to disqualify yourself from participating in a matter that affects the financial interests of a prospective employer when you are seeking employment. You are considered to be seeking employment as soon as you take certain early steps toward employment, such as sending a resume, or do not reject overtures from prospective employers. 5 CFR 2635.601-.606.

Post-Employment Restrictions

A former employee is prohibited from representing someone else before the government on a particular matter involving specific parties in which he participated personally and substantially while working for the government and in which the U.S. is a party or has a substantial interest. 18 U.S.C. § 207(a)(1).

The Bar Rules prohibit behind-the-scenes work on such a matter and extend this bar to the entire law firm unless the proper screening mechanisms are in place to screen the former government employee. ABA Model Rule 1.11.

For two years, a former employee is prohibited from representing someone else before the government on a particular matter involving specific parties that he knows was pending under his official responsibility for the last year of government service and in which the U.S. is a party or has a substantial interest. 18 U.S.C. § 207(a)(2).

For one year (two years for former Cabinet officials), former *senior employees*³ are prohibited from representing someone else before their former agency with the intent to influence on a matter which is pending before the Department or in which it has an interest. 18 U.S.C. § 207(c).

For two years, former cabinet level officials are prohibited from lobbying any other Executive Level official in the Executive Branch. 18 U.S.C. § 207(d).

For one year, officials subject to 18 U.S.C. §§ 207(c) and (d) are prohibited from representing, aiding or advising a foreign entity with the intent to influence a federal employee. Foreign entity is defined as a foreign government or political party. 18 U.S.C. § 207(f).

A former employee is prohibited from sharing in fees resulting from representational services rendered by another at the time the former employee was with the government and concerning a matter in which the U.S. is a party or has a direct and substantial interest. 18 U.S.C. § 203. (This will affect former employees who leave government to become partners in a law firm.)

Departmental Ethics Office
Department of Justice
(202) 514-8196

³ Senior employees include: Executive Level officials; SES, ST, SL and employees in other pay systems with an annual rate of basic pay (excluding locality adjustments) at or above 86.5 percent of the rate for level II of the Executive Schedule (\$161,755 as of January, 2017). Executive Level personnel will be barred from the whole Department, while those in the SES and other pay systems may only be barred from certain parts of the Department.

AGENCY INFORMATION

U.S. Department of Justice

Mission Statement:

To enforce the law and defend the interests of the United States according to the law; to ensure public safety against threats foreign and domestic; to provide federal leadership in preventing and controlling crime; to seek just punishment for those guilty of unlawful behavior; and to ensure fair and impartial administration of justice for all Americans.

Core Values:

These core values underlie the Department's work, inform its strategic goals, and guide its employees.

Equal Justice under the Law. Upholding the laws of the United States is the solemn responsibility entrusted to DOJ by the American people. The Department enforces these laws fairly and uniformly to ensure that all Americans receive equal protection and justice.

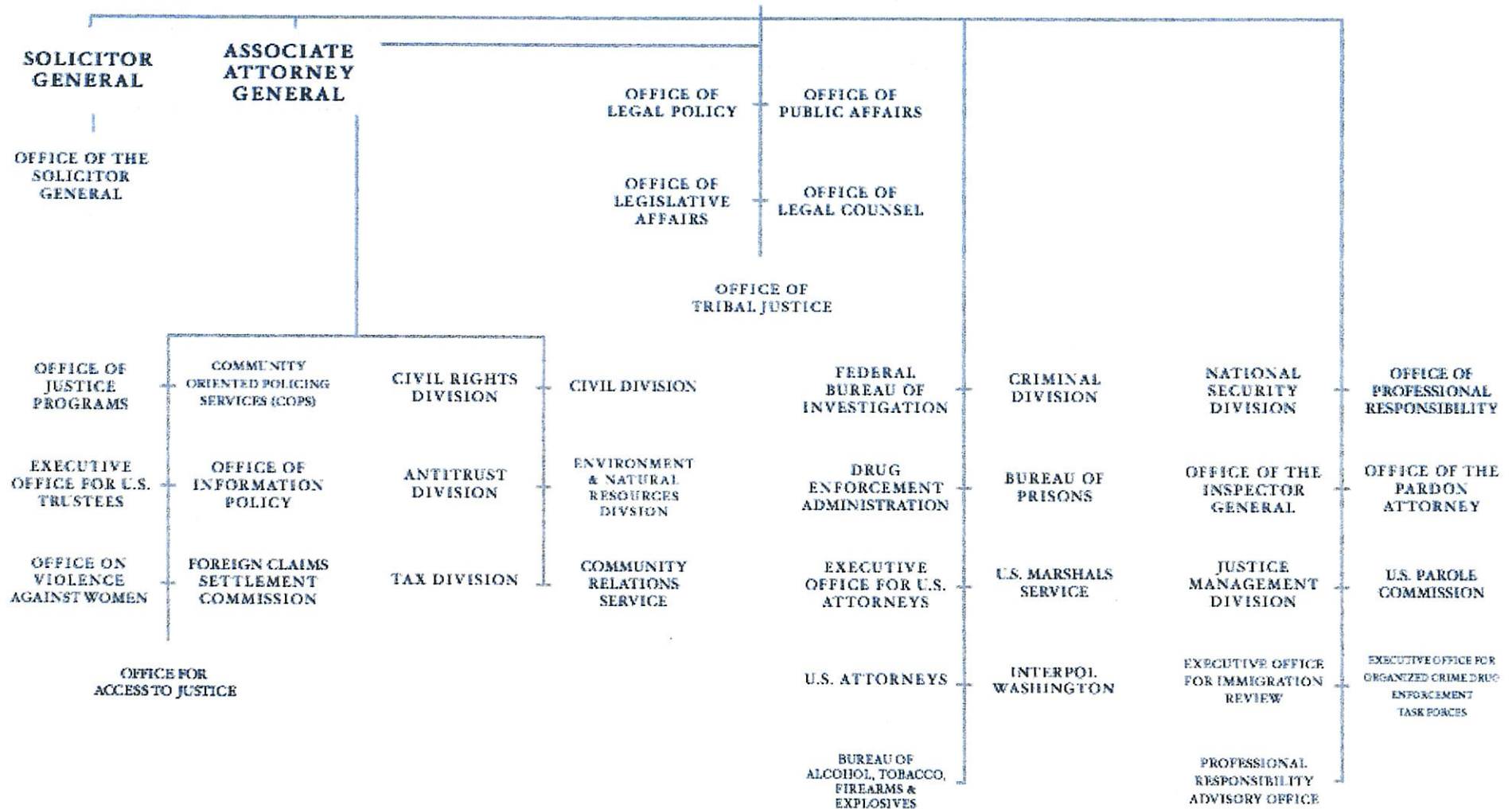
Honesty and Integrity. DOJ adheres to the highest standards of ethical behavior, cognizant that, as custodians of public safety, its motives and actions must be beyond reproach.

Commitment to Excellence. The Department seeks to provide the highest levels of service to the American people. DOJ is an effective and responsible steward of the taxpayers' dollars.

Respect for the Worth and Dignity of Each Human Being. Those who work for the Department treat each other and those they serve with fairness, dignity, and compassion. They value differences in people and ideas. They are committed to the well-being of employees and to providing opportunities for individual growth and development.

OFFICE OF THE
ATTORNEY GENERAL

DEPUTY
ATTORNEY GENERAL



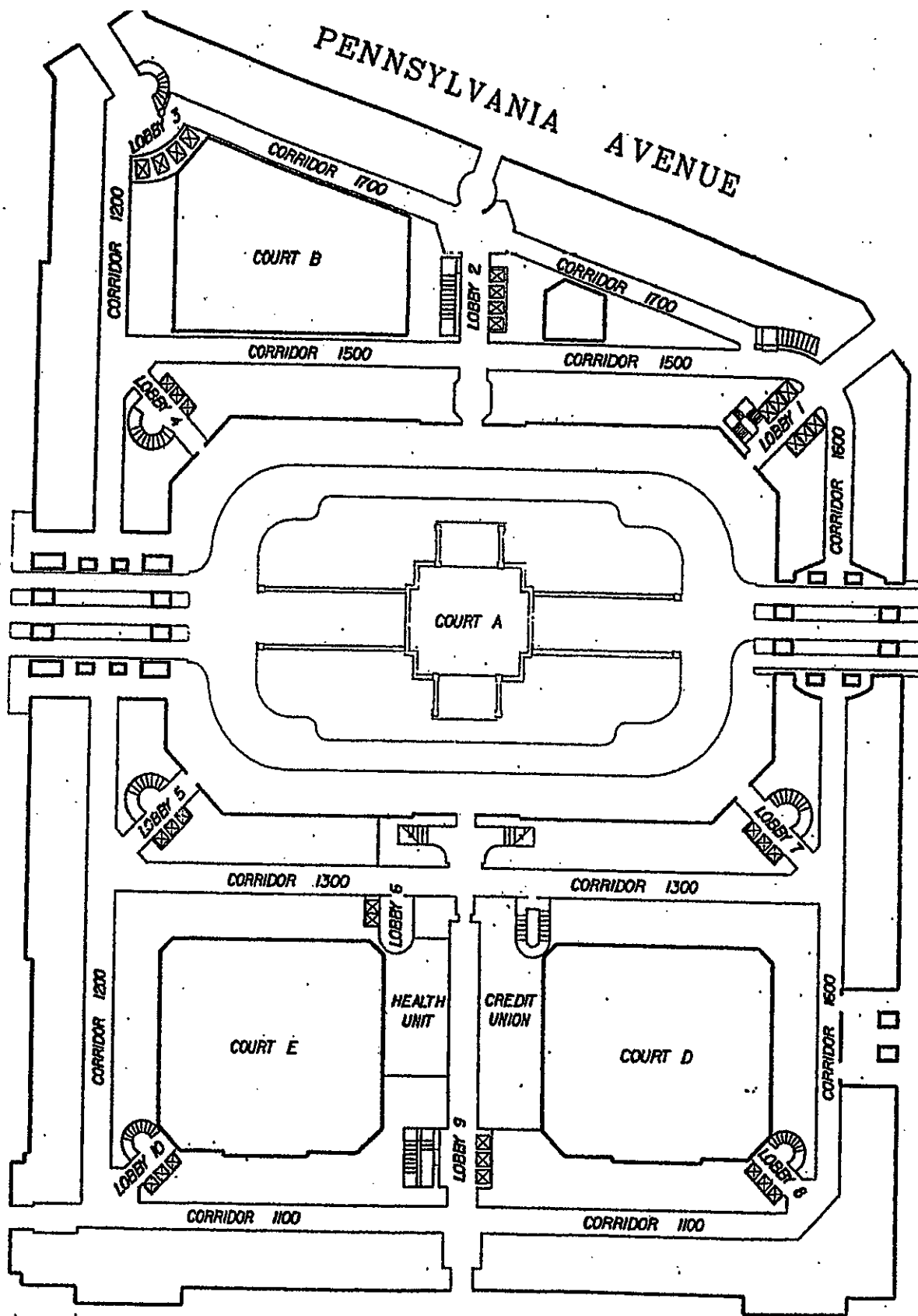
Approved by:

Loretta E. Lynch
LORETTA E. LYNCH
Attorney General

Date:

6/5/2015

TENTH STREET

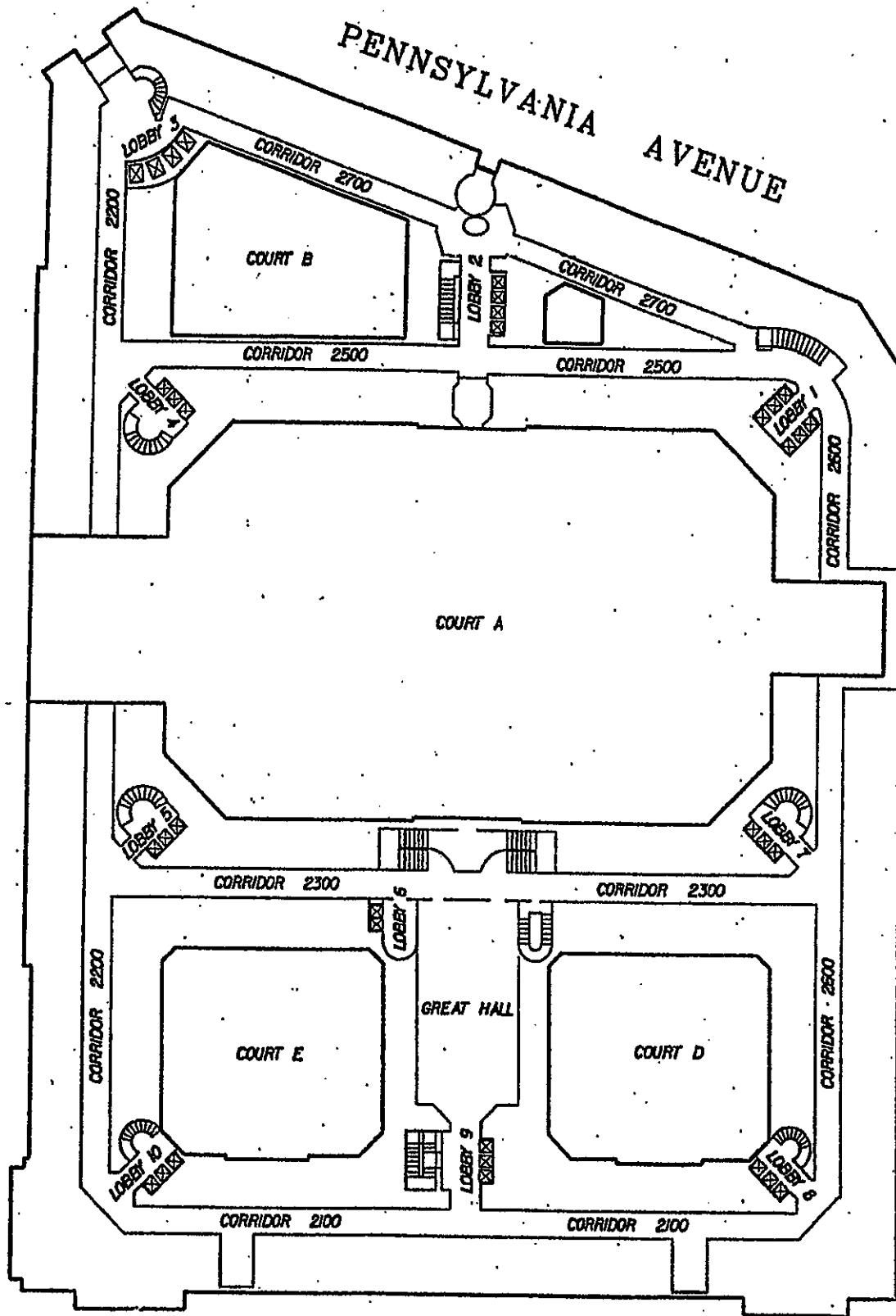


NINTH STREET

CONSTITUTION AVENUE

1ST FLOOR

NINTH STREET

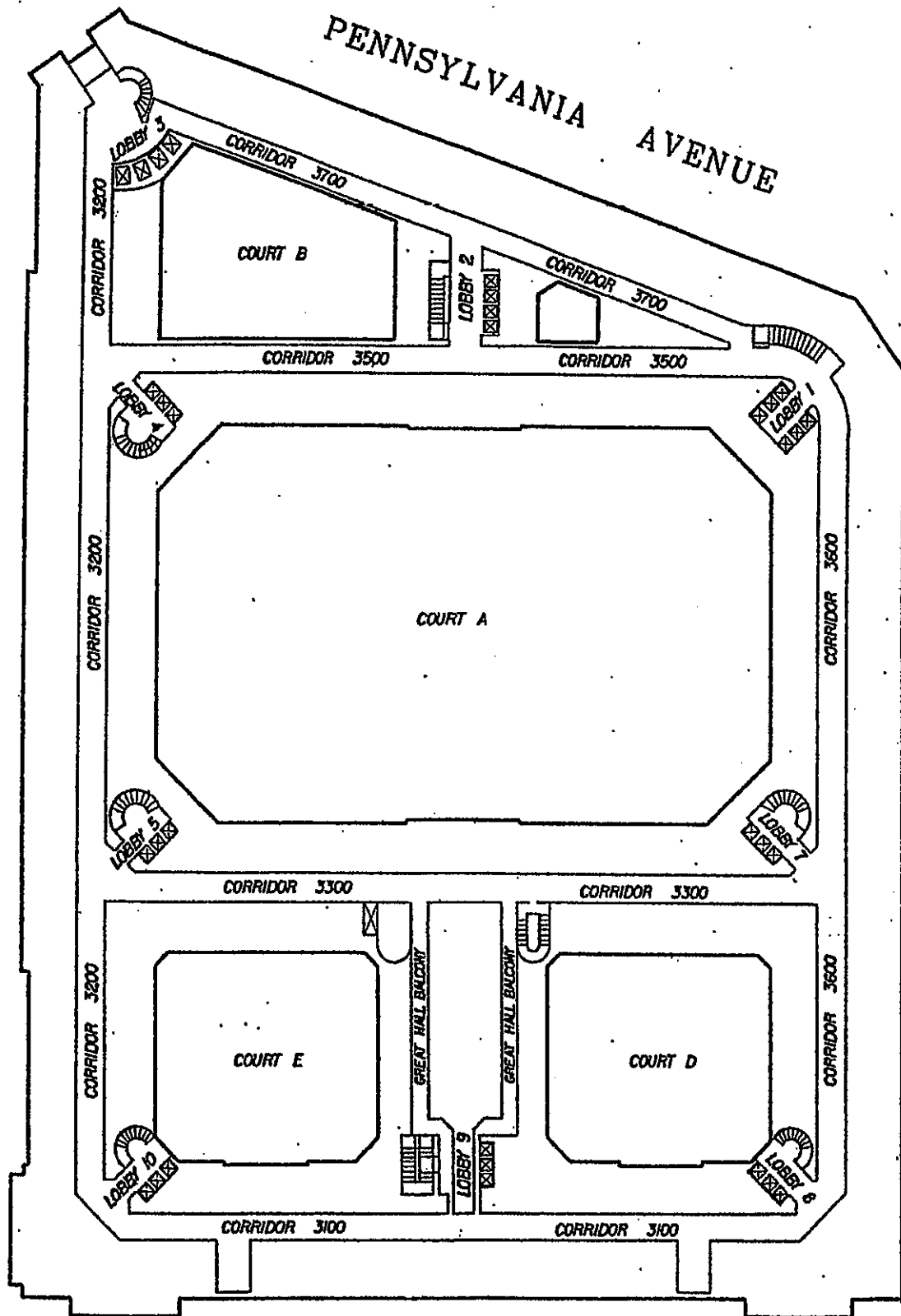


NINTH STREET

CONSTITUTION AVENUE

2ND FLOOR

TENTH STREET



NINTH STREET

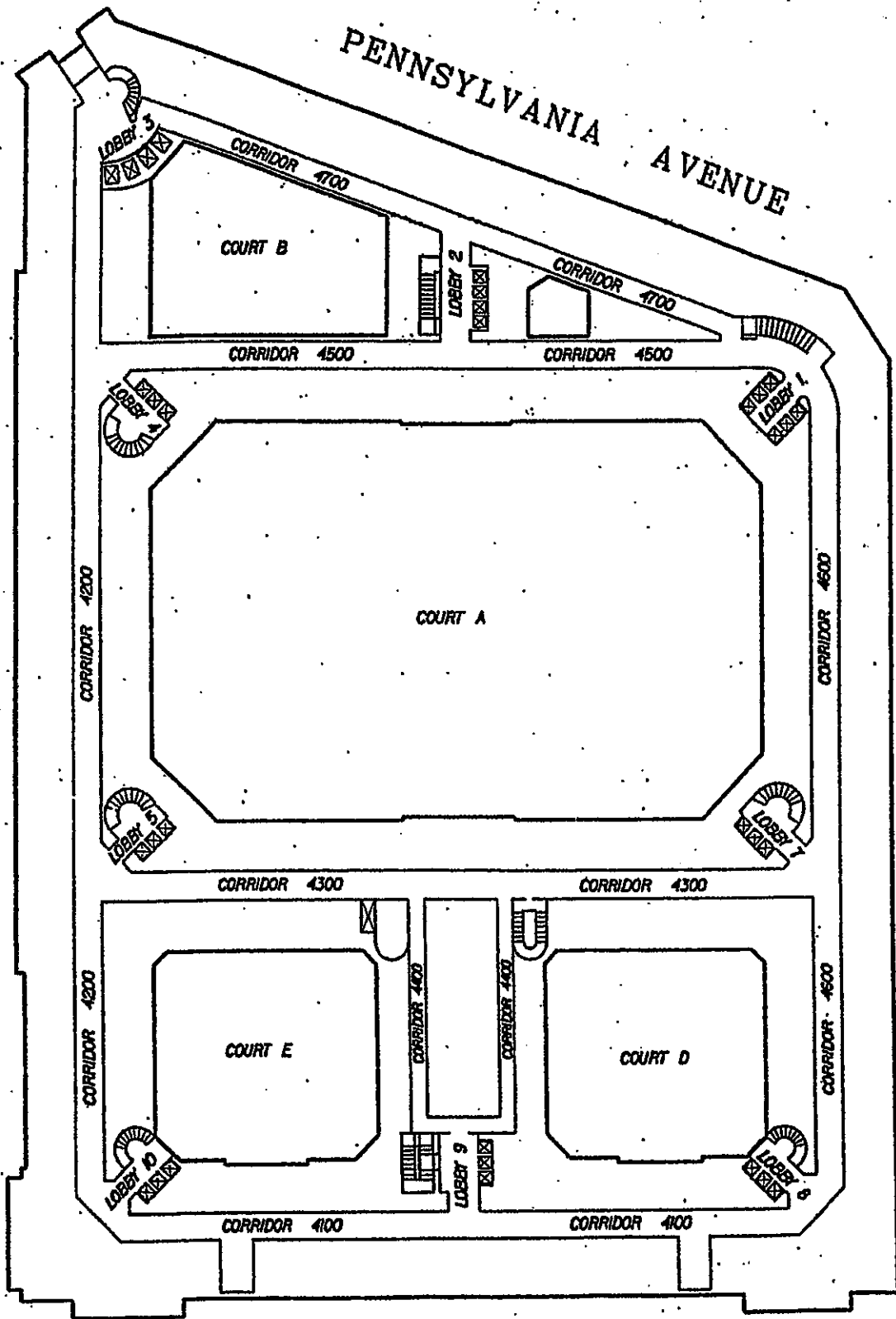
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TENTH STREET

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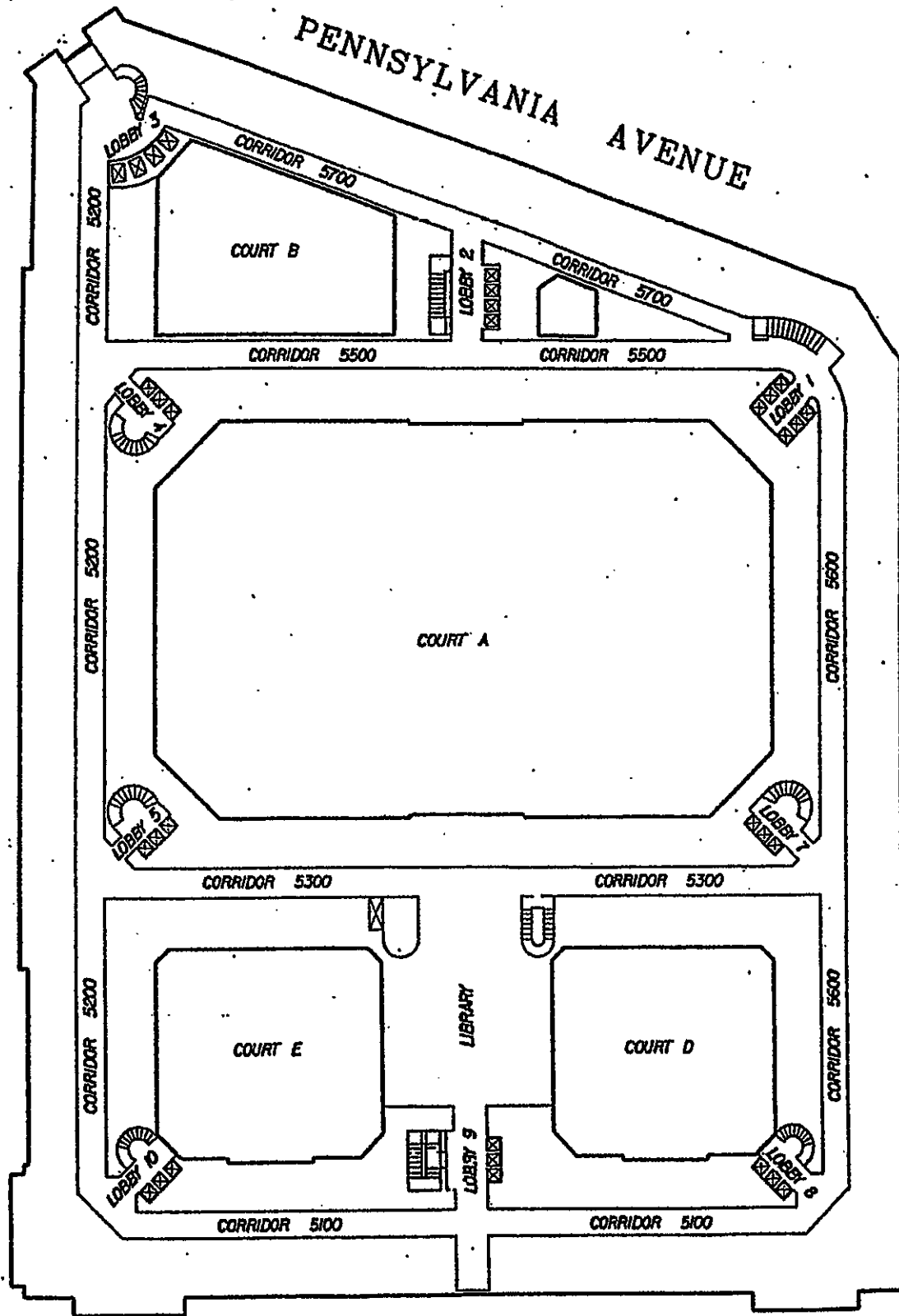
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CONSTITUTION AVENUE

4TH FLOOR

TENTH STREET



NINTH STREET

CONSTITUTION AVENUE

5TH FLOOR

KEY POLICIES



Office of the Attorney General
Washington, D. C. 20530

October 9, 2015

MEMORANDUM FOR ALL DEPARTMENT OF JUSTICE EMPLOYEES

FROM: THE ATTORNEY GENERAL

Subject: Prevention of Harassment in the Workplace

POLICY MEMORANDUM # 2015-04

PURPOSE: Renews policy that the Department will tolerate no form of harassment and ensures that no employee is subjected to retaliation because he or she has alleged unlawful harassment or assisted in any inquiry about such allegations. The policy directs managers and supervisors to take immediate and appropriate corrective action to address all allegations of harassment and retaliation and to be accountable for failure to do so.

SCOPE: All Department components

POLICY: The Department of Justice will maintain a zero tolerance work environment that is free from harassment (including sexual harassment) based on sex, race, color, religion, national origin, gender identity, age, disability (physical or mental), genetic information, status as a parent, sexual orientation, marital status, political affiliation, or any other impermissible factor. The Department also will ensure that no employee is subjected to retaliation because he or she has alleged unlawful harassment or assisted in any inquiry about such allegations. Managers and supervisors must take action quickly to respond to allegations of harassment or retaliation.

I want to take this opportunity to reiterate the Department of Justice policy of maintaining a work environment that is free from harassment (including sexual harassment) based on sex, race, color, religion, national origin, gender identity, age, disability (physical or mental), genetic information, status as a parent, sexual orientation, marital status, political affiliation, or any other impermissible factor. It is also the Department's policy to ensure that no employee is subjected to retaliation because he or she has alleged unlawful harassment or assisted in any inquiry about such allegations. The Department will tolerate no form of harassment and will take immediate and appropriate corrective action to address it.

Harassing conduct is defined as any unwelcome verbal or physical conduct that is based on any of the above-referenced characteristics when this conduct explicitly or implicitly affects an individual's employment; unreasonably interferes with an individual's work performance; or creates an intimidating, hostile, or offensive work environment.

To enforce this zero tolerance policy, the Department will treat harassing conduct as misconduct, even if it does not rise to the level of harassment actionable under Title VII of the Civil Rights Act of 1964, as amended. The Department will not wait for a pattern of offensive conduct to emerge before addressing claims of harassment. Rather, the Department will act before the harassing conduct is so pervasive and offensive as to constitute a hostile environment. Even where a single utterance of an ethnic, sexual, racial, or other offensive epithet may not be severe enough to constitute unlawful harassment in violation of Title VII, it is the Department's view that such conduct must be prevented whenever possible through awareness, robust policies and effective and appropriate follow-up, investigation, and enforcement of the zero tolerance policy. The Department will not tolerate retaliation against any employee for making a good-faith report of harassing conduct or for participating in any inquiry about such a report.

Any employee who believes that he or she has been subjected to harassment should report such behavior immediately to a supervisor or higher level manager, the personnel officer in their office, or the individuals identified by their office to manage harassment allegations. Employees may also seek assistance from their Equal Employment Opportunity Office, the Office of Professional Responsibility, or the Office of the Inspector General. In addition, employees in a collective bargaining unit may seek assistance through appropriate provisions of their collective bargaining agreement. Employees who want to file a formal complaint of harassment and preserve their legal rights must contact their component's Office of Equal Employment Opportunity within 45 days of the alleged unlawful harassment. The Department will protect the confidentiality of employees bringing harassment claims to the extent possible.

This Policy Memorandum remains in effect for 1 year from date of issuance or until it is converted into a DOJ Order or DOJ Policy Statement.

DOJ managers and supervisors must set the example in their organization by ensuring that the workplace is free of such behavior. Every manager and supervisor must:

- Be mindful of the potential for harassment in his or her work environment;
- Take all necessary steps to prevent harassment from occurring;
- Ensure that, if harassment does occur, it is eliminated in a manner that is prompt and effective but minimizes the effect on the victim to the extent possible;
- Be unbiased and not retaliate against employees who report harassing conduct or participate in any inquiry about such a report; and
- Take appropriate steps to hold those who engage in harassing conduct accountable.

Appropriate corrective action will be swift against any DOJ employee who engages in harassment. Likewise, disciplinary action will be taken against supervisors and managers who either condone or fail to act promptly to report or correct harassing conduct brought to their attention.

This Policy Memorandum remains in effect for 1 year from date of issuance or until it is converted into a DOJ Order or DOJ Policy Statement.



Approved On: Nov. 19, 2013

DOJ POLICY STATEMENT

FEDERAL WORKPLACE RESPONSES TO DOMESTIC VIOLENCE, SEXUAL ASSAULT, AND STALKING

PURPOSE: This Policy Statement aims to: (a) enhance workplace awareness and capacity to create a safe work environment for employees and contractors who are victims of domestic violence, sexual assault, and stalking, and their co-workers; (b) develop policies and procedures to assist victims and to support co-workers who may be victims of vicarious domestic violence, sexual assault, and stalking; and (c) increase awareness of policies, including disciplinary action, to address the conduct of workers who commit domestic violence, sexual assault, and stalking.

SCOPE: This Policy Statement applies to Department of Justice (DOJ) employees, including full-time, part-time, temporary, and probationary employees, as well as interns, detailees, fellows, and volunteers in federal workplaces, as defined below. The Policy Statement applies to contractors where they are explicitly included or when they are defined as victims.


ORIGINATOR: Human Resources (HIR) Staff, Justice Management Division (JMD)

CATEGORY: (I) Administrative, (II) Human Resources

AUTHORITY: *Establishing Policies for Addressing Domestic Violence in the Federal Workforce*, Presidential Memorandum (April 18, 2012); *Guidance for Agency Specific Domestic Violence, Sexual Assault, and Stalking Policies*, U.S. Office of Personnel Management (Feb. 2013).

CANCELLATION: None

DISTRIBUTION: This Policy Statement is distributed electronically to all Department components as well as posted to the DOJ Directives electronic repository (SharePoint).


APPROVED BY: *James M. Cole*
Deputy Attorney General

ACTION LOG

All DOJ directives are reviewed, at minimum, every five years and revisions are made as necessary. The action log records dates of approval, recertification, and cancellation, as well as major and minor revisions to this directive. A brief summary of all revisions will be noted. In the event this directive is cancelled, superseded, or supersedes another directive, that will also be noted in the action log.

Action	Authorized by	Date	Summary
Initial Document Approval	James M. Cole, Deputy Attorney General	11/19/2013	Initial Approval of DOJ Policy Statement on Federal Workplace Responses to Domestic Violence, Sexual Assault, and Stalking

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GLOSSARY OF TERMS

DEFINITIONS

Term	Definition
Contracting Officer	An employee with authority to act on behalf of the federal government to enter into, administer, or terminate contracts with vendors.
Contracting Officer's Representative	An employee designated and authorized in writing by a contracting officer to perform specific technical or administrative functions.
Contractor	An employee of a private business or organization, that has a federal contract or subcontract supporting DOJ, or an individual with such a contract, and who is assigned to work in a DOJ workplace.
Disclosure	A disclosure is access to or exposure of information provided by or about a victim related to incidents or concerns of domestic violence, sexual assault, or stalking, relating to the victim.
Domestic Violence	Domestic violence is a pattern of coercive behavior, including acts or threatened acts, that are used by a perpetrator to gain power and control over a current or former spouse, current or former intimate partner, or person with whom the perpetrator shares a child in common. This behavior includes, but is not limited to, physical or sexual violence, emotional and/or psychological intimidation, verbal abuse, stalking, economic control, harassment, threats, physical intimidation, or injury. Domestic violence can occur in any relationship, regardless of socio-economic status, education level, cultural background, age, gender, race, ethnicity, sexual orientation, gender identity, or religion. Domestic violence can occur in heterosexual and same-sex intimate relationships, including marital, cohabiting, or dating relationships that are not dependent on the existence of a sexual relationship.
Employee	An employee is any person employed by the Department of Justice, including its component bureaus, offices, boards, and divisions. For purposes of this Policy Statement, the term employee includes interns, detailees, fellows, and volunteers working at the Department, but does not include contractors.
Employer	For the purposes of this Policy Statement, employer is the Department of Justice, including its component bureaus, offices, boards, and divisions.
Federal Workplace	An employee is considered to be in the federal workplace while in, or using the resources of, federal offices, facilities, employer-approved telework or other work sites, equipment, or vehicles, or anywhere that

	an employee is conducting business on behalf of the Department, or while on work-related travel. The availability and character of a Department response to a workplace-related incident may be dependent upon the location at issue.
Perpetrator	A perpetrator is an individual who commits or threatens to commit an act of domestic violence, sexual assault, and/or stalking.
Protection or Restraining Order	A protection order, also called a restraining order or stay-away order, is an order issued by a court to protect a victim from a perpetrator. Such orders may also establish child custody and visitation guidelines and provide for forms of economic security, like rent or mortgage payments, which last for the duration of the order. Protection orders may issue in criminal cases as a condition of probation or condition of release, particularly in a domestic violence, sexual assault, or stalking related crime.
Sexual Assault	Sexual assault refers to a range of behaviors, including but not limited to, a completed nonconsensual sex act (e.g., rape), an attempted nonconsensual sex act, and/or abusive sexual contact (i.e., unwanted touching). Sexual assault includes any sexual act or behavior that is perpetrated when someone does not or cannot consent. Lack of consent may be inferred when a perpetrator uses force, harassment, threat of force, threat of adverse personnel or disciplinary action, or other coercion, or when the victim is asleep, incapacitated, unconscious, or physically or legally incapable of consent. Managers should consult appropriate counsel if they have questions regarding a particular situation in which consent is an issue.
Sexual Harassment	Sexual harassment refers to unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when this conduct explicitly or implicitly affects an individual's employment, unreasonably interferes with an individual's work performance, or creates an intimidating, hostile, or offensive work environment and is generally prohibited under <u>Title VII of the Civil Rights Act of 1964</u> . Sexual assault is a form of sexual harassment prohibited by Title VII, but most sexual harassment does not rise to the level of sexual assault. This Policy Statement only addresses sexual assault. For sexual harassment that does not rise to the level of sexual assault, components should follow the Department of Justice Sexual Harassment Policy (http://www.justice.gov/jmd/eeos/sexual-harassment.html) and guidance from the EEOC (http://www.eeoc.gov/laws/types/sexual_harassment.cfm).

Stalking	Stalking refers to harassing, unwanted or threatening conduct that causes a victim to reasonably fear for his or her safety or the safety of a family member. Stalking conduct can include, but is not limited to: following or spying on a person; appearing uninvited and unwanted at a person's home or work; waiting at places in order to make unwanted contact with a person or to monitor a person; leaving undesired items (e.g., presents or flowers) for a person; and posting information or spreading rumors about a person on the Internet, in a public place, or by word of mouth. It also includes "cyberstalking": following a person's Internet activity with malicious intent, hacking into someone's email, making anonymous contact with someone over the Internet or by email, or otherwise using technology to make unwanted contact. Stalking may occur through use of technology including, but not limited to, e-mail, voice-mail, text messaging, and use of GPS and social networking sites.
Workplace-related Incidents	Workplace-related incidents of domestic violence, sexual violence, and stalking include acts, attempted acts, or threatened acts by or against employees or contractors, and/or against victims' families or property, that occur in the federal workplace or that occur outside the workplace but have an impact on the workplace, including making the victim feel unsafe in the workplace.
Workplace Safety Plan	A workplace safety plan is a strategy developed in collaboration with a victim to implement workplace safety options, including but not limited to: handling of court protection orders, procedures for alerting security personnel, temporary or permanent adjustments to work schedules and locations, change in parking spots, and requests for escorts around workplace facilities.
Victim	For purposes of this Policy Statement, the term victim means an employee or contractor who has experienced, or discloses information related to, incidents or concerns related to domestic violence, sexual assault, or stalking for himself or herself. A victim may know the perpetrator, such as a co-worker or supervisor, and/or may be involved in a dating or marital relationship with perpetrator, or the perpetrator may be unknown to the victim.

ACRONYMS

Acronym	Meaning
C.F.R.	Code of Federal Regulations
DOJ	Department of Justice
EAP	Employee Assistance Program
EEO	Equal Employment Opportunity
EEOC	Equal Employment Opportunity Commission
FPS	Federal Protective Service
NSI	National Security Information
SPM	Security Programs Manager
JMD	Justice Management Division
OVW	Office on Violence Against Women

I. Policy

- A. Statement of Purpose.** Domestic violence, sexual assault, and stalking are serious problems that can affect individuals, families, and communities. The impact of such incidents of violence can spill over to the workplace. As the nation's largest employer, the federal government seeks to be a model in its response to such violence and its effects. The Department of Justice aspires to promote a safe and healthy work environment, and to improve workplace responses to domestic violence, sexual assault, and stalking experienced by its workforce. The Department recognizes that incidents of these forms of violence include those that occur at work, as well as those that occur outside of work but still impact the workplace (e.g., through decreased productivity and increased risk for violence). Existing Department policy does not tolerate violence, threats, harassment, intimidation, or other disruptive behavior in the workplace. The Department seeks to increase awareness among employees, supervisors, and contractors of the options available to assist victims so that victims can take advantage of the options best-suited to their needs. Above all, each victim presents unique circumstances that should be addressed with utmost respect and sensitivity by Department personnel. This Policy Statement identifies existing policies and resources available within the Department to address domestic violence, sexual assault, and stalking. The attached Appendix provides further guidance.
- B. Responding to Employees and Enhancing Workplace Safety.** The Department's policy is to offer appropriate and timely support to employees to address violence in the workplace. Workplace support, as elaborated in further detail below, will be available to employees who are victims of domestic violence, sexual assault, and stalking in order to minimize the impact of violence on the victim and others in the workplace and to facilitate victim and workplace safety. The Department is committed to making these supportive resources available to employees who disclose incidents of domestic violence, sexual assault, and stalking through supervisors, designated persons in human resources divisions, or other persons designated by the agency, and the Department's Employee Assistance Program (EAP).
- C. Protection and Restraining Orders.** If a victim chooses to disclose the existence of a protection or restraining order to Department management, to the extent practicable, the Department's policy is to assist the victim to enforce his or her order within the workplace. Such assistance does not create an actionable duty or indicate acceptance by the Department of the jurisdiction of the court issuing the order. It may be necessary to consult with component human resources staff and/or the component's legal counsel regarding this assistance.
- D. Addressing Employee Work Performance and Conduct.** Once a supervisor becomes aware that an employee suffers from declining performance or conduct issues that may be the result of domestic violence, sexual assault, or stalking (e.g., an

employee may be charged with AWOL for absences arising from domestic violence, sexual assault, or stalking), the impact of domestic violence, sexual assault, and stalking should be taken into consideration as a mitigating factor in determining any appropriate discipline in misconduct cases involving a victim. Components should work to make sure that workplace policies do not re-victimize victims to the extent possible, while maintaining appropriate workplace standards.

- E. Non-Discrimination and Non-Retaliation.** As per the Department's EEO Policy, no applicant or employee will be denied equal employment opportunity because of race, color, religion, national origin, sex, gender identity, age, disability (physical or mental), genetic information, status as a parent, sexual orientation, marital status, political affiliation, or any other non-merit factor. In addition, the Department will maintain policies to allow all employees to work in an environment that is free from discrimination and harassment and in which employees may exercise their rights without fear of reprisal. Depending on the particular circumstances, Federal and Departmental EEO policy may apply to incidents or reports of domestic or dating violence, sexual assault, or stalking that occur in the workplace. However, whether discrimination has actually occurred in a particular instance must be determined through an investigation of the facts alleged.

The Department's EEO policy is located at <http://www.justice.gov/jmd/eeos/policy.htm>. For information about how the equal employment opportunity laws may apply to a situation of domestic violence, please see the Equal Employment Opportunity Commission's publication

"Questions and Answers: The Application of Title VII and the ADA to Applicants or Employees who Experience Domestic or Dating Violence, Sexual Assault, or Stalking."

- F. Victim Autonomy, Confidentiality, and Recordkeeping.** The Department recognizes its Privacy Act obligation not to disclose information about individuals contained in systems of records absent written consent of the individual or a disclosure made pursuant to a statutory exception. The Department also recognizes the importance of victim autonomy and confidentiality. The confidentiality of employee or third-party information and records related to domestic violence, sexual assault, and stalking is critical. The Department's policy is to only maintain written records if required to do so, and it will make every effort to protect written information. Department employees shall keep information regarding victims of domestic violence, sexual assault, and stalking confidential, except as limited herein and by other laws, regulations, and Department policies, such as when the Department is investigating an incident occurring in the workplace. Department employees covered by child abuse reporting mandates must follow such mandates and inform the victim of the scope of such mandates. The Attorney General Guidelines for Victim and Witness Assistance (http://www.justice.gov/olp/pdf/ag_guidelines2012.pdf) include

information on child abuse reporting mandates applicable to Department personnel at Article III, L, 1, c.

G. Reporting Conduct of Contractors. Concerns regarding the conduct of contractors, such as perpetration of domestic violence, sexual assault, or stalking, shall be promptly brought to the attention of the relevant contracting officer or contracting officer's representative and/or Department security personnel.

H. Additional Guidelines and Procedures. The Department will develop and implement additional guidelines, policies, and procedures necessary to implement this Policy Statement.

I. Disclaimer. This Policy Statement is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity by any party against the United States, its departments, agencies, or entities; its officers, employees, or agents; or any other person.

II. Roles and Responsibilities

A. Component Heads. Component Heads are responsible for addressing the following in their components.

1. Investigating Incidents. It is the policy of the Department to provide a safe work environment for its employees and contractors. The Department will not tolerate violence, threats, harassment, intimidation, and other disruptive behavior. See <http://dojnet.doj.gov/jmdmemos/memo112508.pdf>. Department components will take immediate steps to investigate incidents perpetrated in the workplace by employees or contractors, and brought to the attention of Department management and, if Department employees are involved, take appropriate disciplinary action.

2. Resources, Referrals, and Points of Contact for Victims. As described in the Appendix, one way of addressing the needs of victims is to have a Domestic Violence, Sexual Assault, and Stalking Response group to provide resources, referrals and points of contact for victims. Component Heads shall clearly notify employees and contractors of how to access the following resources and points of contact.

a. Resources for Victims. Each Department component shall maintain a list of resources for victims of domestic violence, sexual assault, and stalking, and shall provide employees and contractors with applicable information regarding local and/or national service providers, and EAPs for employees, that can support victims. This shall also include information on how victims can contact the Justice Protective Service, Federal Protective Service (FPS), or

- 12

that describe options available to employees to maintain employment and to address concerns in ways that employees deem safe and appropriate.

5. **Workplace Awareness and Outreach.** Department components shall distribute this Policy Statement to all current employees and contractors. New employees and contractor staff shall receive this Policy Statement upon commencement of employment.
6. **Training.** Beginning during Fiscal Year 2015, all Department components shall require supervisors, human resources personnel, internal or external Employee EAPs, employees, interns and volunteers to complete training coordinated by the Justice Management Division (JMD), about the effects of domestic violence, sexual assault, and stalking impacting the workplace. This training shall be repeated at a minimum on a biennial basis.
7. **Monitoring and Evaluating Department Responses.** Department components must conduct annual reviews of their procedures, policies, training and practices under this Policy Statement, including number of employees trained, and reviews of incident reports to evaluate the quality of the response. Each component shall send a report to JMD Human Resources describing the result of its annual review.

B. Justice Management Division and Office on Violence Against Women.

1. **Training.** The JMD Human Resources Staff, in consultation with the Office on Violence Against Women (OVW), will develop and coordinate training for employees on domestic violence, sexual assault, and stalking, including understanding the dynamics of these crimes and resources available for victims. The JMD Human Resources Staff and OVW will also develop supplemental training for supervisors, human resources personnel, and EAPs, which will include topics such as how to talk to employees about domestic violence, sexual assault, and stalking, and how to respond appropriately to victims. Basic employee training and supplemental training will be available on an electronic portal accessible to all components.
2. **Monitoring and Evaluating Department Responses.** The JMD Human Resources Staff will compile the results of the annual component reviews described above into an annual report to the Assistant Attorney General for Administration.
3. **Technical Assistance.** OVW will be available for on-going technical assistance to implement this Policy Statement.

- C. Employees.** All employees are expected to become familiar with this Policy Statement and are required to participate in initial and ongoing training associated with this Policy Statement.

D. Contractors. All contractors are expected to become familiar with this Policy Statement.

APPENDIX

GUIDANCE ON IMPLEMENTING FEDERAL WORKPLACE RESPONSES TO DOMESTIC VIOLENCE, SEXUAL ASSAULT, AND STALKING

This Appendix provides Department components with guidance to assist them in implementing this Policy Statement. The resources, authorities, and related Departmental policies identified in this Appendix are available to address domestic violence, sexual assault, and stalking in the workplace.

CONFIDENTIALITY AND RECORDS

The Department recognizes that a victim may have concerns regarding privacy, confidentiality, and autonomy in relation to the victim's disclosure of information regarding violence, including stalking, cyberstalking, attempts, threats, harassment, intimidation, sexual assault and physical violence. Department personnel should make every effort to honor the victim's preferences regarding the extent of disclosure, unless to do so could result in physical harm to any person, jeopardize safety within the workplace, or there is another compelling need to disclose without the victim's consent, including the need for an administrative or other investigation, or discipline and/or removal of the perpetrator from the workplace.

Whenever possible, Department personnel should inform the victim regarding further disclosures that may be necessary in order to implement workplace safety options or otherwise assist the victim. Department personnel should provide the victim with the name and title of the person with whom the Department intends to further disclose the victim's information, and should explain the necessity and purpose of the disclosure. Such further disclosures, for example, might be necessitated if a victim discloses imminent harm to a child. Components should observe federal and state laws governing mandatory disclosure of abuse of vulnerable persons (children, the elderly, and victims of domestic violence).

When information provided by a victim must be disclosed within and/or external to the Department (such as due to security reasons), the Department will limit the breadth and content of such disclosure to information reasonably necessary to meet the purpose of the disclosure (such as preventing physical harm to a person).

Any type of monitoring or evaluation depends, in part, on written or electronic records. It is crucial that any records relevant to domestic violence, sexual assault, and stalking incidents be kept in a confidential place and only shared, as necessary, with appropriate personnel, such as those involved in security or management roles.

See page 18 of The Office of Personnel Management Guidance for Agency-Specific Domestic violence, Sexual Assault, and Stalking Policies for further discussion on confidentiality.

RESOURCES, REFERRALS, AND POINTS OF CONTACT

Domestic Violence, Sexual Assault, and Stalking Response Group

Each Department component should create a Domestic Violence, Sexual Assault, and Stalking Response Group to assess incidents of domestic violence, sexual assault, and stalking impacting the workplace. This Response Group should be trained to address the needs of domestic violence, sexual assault, and stalking victims. As appropriate, it should include representatives such as those from each component's security, human resources, employee assistance, or other relevant offices.

Taking into consideration the confidentiality section (above), Department personnel who identify a situation governed by this Policy Statement may consider contacting Response Group members to consult with a victim and to develop and recommend to management elements of a plan to enhance the safety of the victim and the workplace, and to support the victim to the extent practicable consistent with the needs of the workplace. The victim's wishes regarding how much information is made available to others, as well as the victim's own assessment of the threat, should be respected to the extent practicable. Domestic violence, sexual assault, and stalking situations do not always need to be escalated to the Response Group level. In many instances, a victim can effectively handle the situation with his or her supervisor.

As part of the Response Group, each component shall have a point of contact for contractors to report incidents of domestic violence, sexual assault, and stalking perpetrated against them in the federal workplace. At least one point of contact will be someone who does not supervise the work of a reporting contractor.

SAFETY PLANNING

Developing a workplace safety plan that includes and respects the views and preferences of victims is an essential element of threat management.

Component supervisors, human resources staffs, EAPs, and security personnel are encouraged to assist employees in developing safety plans. Where feasible and appropriate, this planning may involve temporary changes, such as moving the employee to a more secure location or instituting a variable work schedule. Relevant Department security personnel should be made aware of any restraining orders and should be provided with photographs of the alleged perpetrator, if available.

In addition, Department security personnel can advise victims on the following types of issues:

- Dealing with telephone, internet, or mail harassment;

- Addressing safety when entering or leaving a worksite, including walking between parking lots and worksite buildings;
- Using technology to enhance safety (e.g., cellular phones);
- What to do if confronted in the workplace by perpetrator who is a co-worker and an alleged abuser; and
- What to do if the victim sees an alleged abuser trying to enter the workplace.

Department security personnel should also refer victims to appropriate Department employee assistance programs (EAPs), as well as the Federal Protective Service (FPS), local law enforcement and community resources. These resources can assist victims with navigating the criminal justice system, obtaining a temporary restraining order and legal representation, and other victim concerns.

Addressing Computer Technology Concerns

In consultation with the victim, the Department's security personnel should coordinate with their components' computer technology personnel to address victim safety concerns. These concerns include the alleged perpetrator's use of computer technology to harass or stalk a victim, as well as using information on the Department's website about the victim that could potentially be used to harm the victim. As appropriate, the above-described safety plan should address these concerns, including removing identifying information, such as the victim's telephone number and office location, from the Department and its components' public websites.

Working with Local Law Enforcement

Appropriate Department personnel may determine that local law enforcement agencies should be contacted when there is a reasonable risk that an incident of violence may occur impacting the victim or the workforce. Local police may have information that could be helpful in assessing the level of threat against the employee while he or she is at work; for example, they may have dealt with the alleged perpetrator in the past and be familiar with his or her patterns of behavior. Taking into consideration the confidentiality concerns discussed earlier, it is critical that victims be informed that the police will be notified.

Protection and Restraining Orders

A victim may seek an order of protection, or may receive a restraining order, as part of his or her efforts to become safe and as part of his or her workplace safety plan. A Department workplace may or may not be included on an order as a location from which an alleged perpetrator must remain away.

Department components should maintain such orders in a confidential and separate file from employees' personnel files.

Other

Components should respond to employee requests for information and documentation from the workplace, such as e-mail or voice-mail messages, that could support their efforts in the justice system or to obtain and maintain safety from an alleged perpetrator, to the greatest extent possible on a case-by case basis, subject to the scope of the Freedom of Information Act and applicable privacy laws.

FLEXIBILITIES

Leave

The Department recognizes that employees may require work schedule adjustments and time off in order to secure medical or legal assistance or counseling, attend court proceedings, relocate, or make other safety arrangements. These responsibilities may also include caring for family members who have been impacted by the abuse or violence. Employees should work with their servicing personnel office to determine the most appropriate form of leave available. The Office of Personnel Management Guidance for Agency-Specific Domestic Violence, Sexual Assault, and Stalking Policies provides information on the different types of leave that may be available and how they may be used for victims of domestic violence, sexual assault, and stalking.

Addressing Physical Layout of Worksite

To the extent practicable, Department security personnel, supervisors, and other appropriate Department staff should work with victims to assess the physical layout of the worksite, identify possible threats to victim safety, and changes that can be made to enhance safety. Whether changes will be made will be assessed on a case-by-case basis, at management's discretion. For example, victims who work in locations that are accessible to the general public or where their view of people coming and going is obstructed may have an increased sense of safety with a change in the physical placement or layout of their offices. Public service environments may present challenges requiring a component's Domestic Violence, Sexual Assault, and Stalking Response Group to come up with alternative plans with the assistance of law enforcement, if necessary, and in consultation with victims.

If the component has workplaces in multiple locations, it may be helpful, and potentially lifesaving, to offer to relocate a threatened victim to an alternate worksite unknown to the alleged perpetrator. This relocation should be handled with the strictest confidentiality and respect for victim autonomy related to worksite relocation.

EMPLOYEES AS ALLEGED OFFENDERS

Zero Tolerance for Violence in the Workplace

Employees are reminded of the Department's policy on violence in the workplace. See <http://dojnet.doj.gov/jmdmemos/memo112508.pdf>. Incidents of domestic violence, sexual assault, and stalking in the workplace should immediately be reported to a supervisor or manager. Individuals committing such acts in the workplace may be removed from the premises, subject to disciplinary or other adverse action (up to and including removal from Federal service), and subject to arrest and/or prosecution.

Firearms and Workplace Safety

Relevant to domestic violence, employees are reminded of federal law prohibiting possession of firearms. Specifically, under certain provisions of the Federal Gun Control Act, persons subject to a qualifying protection order (18 U.S.C. § 922(g)(8)) or convicted of a qualifying misdemeanor crime of domestic violence (18 U.S.C. § 922(g)(9)) are prohibited from possessing firearms or ammunition. For more information about these provisions, see <http://www.atf.gov/files/publications/download/i/atf-i-3310-3.pdf> and <http://www.atf.gov/files/publications/download/i/atf-i-3310-2.pdf>.

The provision relating to misdemeanor crimes of domestic violence, also known as the "Lautenberg Amendment," does not have an official use exemption. This means that if a person is convicted of a qualifying misdemeanor crime of domestic violence, he or she may not possess firearms even for official use, such as during duty as a law enforcement officer.

In addition, federal law prohibits the knowing possession of, or the causing to be present, firearms or other dangerous weapons in federal facilities and federal court facilities by all persons not specifically authorized by 18 U.S.C. § 930(d). (See, 41 C.F.R. § 102-74.440.)

Self-Reporting

Employees are reminded of the Department's policy regarding self-reporting of arrests and allegations of misconduct. See http://dojnet.doj.gov/jmd/seps/pdf/policy_self_reporting.pdf. Any employee who is arrested must immediately self-report in writing the fact of an arrest to his or her supervisor or a higher-level official in the chain of command, and to the relevant component Security Programs Manager (SPM). Those employees who have access to national security information (NSI), are in high-risk positions (Risk Level 6), or carry weapons in their official capacity are also required to report in writing any on or off-duty allegations of misconduct. Such misconduct would include incidents of domestic violence, sexual assault, or stalking.

Nexus and Scope of Discipline

When taking an adverse action against an employee, a government agency must show some direct “nexus” between the misconduct involved and the employee’s ability to perform his or her duties or some other legitimate governmental interest that promotes the efficiency of the service. When misconduct happens in the workplace or during duty hours, a nexus is implied, but a nexus would have to be shown for off-duty misconduct that, in this context, involves domestic violence, sexual assault, and stalking. Department components are strongly encouraged to contact their servicing Human Resources Offices and Offices of General Counsel for advice and guidance on this issue. The particular facts and circumstances of each case heavily affect the determination of whether discipline for off-duty misconduct is appropriate.

If the conduct fits the definition of “sexual harassment,” there is a separate Attorney General Memorandum ensuring that “Immediate and appropriate corrective action will be taken to address any form of harassment.” (See <http://www.justice.gov/jmd/eeos/agmemo.html>.)

This topic is discussed in more depth in The Office of Personnel Management Guidance for Agency-Specific Domestic Violence, Sexual Assault, and Stalking Policies at pages 15-16.

TRAINING

Training on domestic violence, stalking and sexual assault for employees may involve partnering with local domestic and sexual violence experts to offer employees immediate access to people with critical expertise. Also, domestic and sexual violence content may be incorporated into general work/family seminars, EAP orientations, basic manager training, and other educational programs addressing workplace violence prevention, health and safety, and sexual harassment. If such additional training is undertaken, components should coordinate with OVW on the content.

CONTRACTORS

The Department workplace also includes contractor employees of vendors or independent contractors. Such personnel are not Department employees. Executive Order 11246, as amended, sets requirements for Federal contractors on non-discriminatory practices and prohibits contractors from discriminating against their employees on the basis of sex, including by engaging in or allowing their employees to engage in sexual harassment. Contractors are also required to comply with Title VII of the Civil Rights Act of 1964, including its prohibition on sex discrimination. Prohibited behavior could occur in conjunction with domestic violence, sexual assault, or stalking. Contractors who believe they are victims of domestic violence, sexual assault, or stalking in the federal workplace should bring such conduct to the attention of a component point of contact. Contractors who are victims of domestic violence, sexual assault, or stalking outside of the federal workplace, but who are concerned for their safety while in the federal workplace, may consult with Department security personnel for safety planning assistance.

MONITORING

Without adequate feedback, the Department cannot assess the effectiveness of its policies and practices. Department components should ensure that simple checks are implemented to assess how consistently new procedures are being implemented. Department components should monitor, over time, the usage rate of employees accessing services to address domestic violence, sexual assault and stalking. Higher usage may indicate enhanced connection of services with employee needs.

Department components should review incident reports for the quality of security responses and the quantity of actions taken. It may help to develop a review group for this purpose, that would include representatives from security, human resources, employee assistance, and other relevant offices, as appropriate.



KNOW YOUR RIGHTS WHEN REPORTING WRONGS

Whistleblower disclosures can save lives as well as billions of taxpayer dollars. They play a critical role in keeping our government honest, efficient and accountable. Recognizing that whistleblowers root out waste, fraud and abuse, and protect public health and safety, federal laws strongly encourage employees to disclose wrongdoing. Federal laws also protect federal employees from retaliation.

The U.S. Office of Special Counsel (OSC) plays an important role in helping whistleblowers. OSC is an independent agency that protects federal employees from "prohibited personnel practices," including whistleblower retaliation and unlawful hiring practices, such as nepotism. OSC also provides an independent, secure channel for disclosing and resolving wrongdoing in federal agencies. This guide provides a summary of whistleblower protections and avenues available to employees to disclose wrongdoing. For more information, please visit OSC's website at www.osc.gov.

Where can I report wrongdoing?

Current and former federal employees and applicants (henceforth "federal employees") can report on any of the following types of wrongdoing:

- a violation of any law, rule, or regulation,
- gross mismanagement,
- a gross waste of funds,
- an abuse of authority, or
- a substantial and specific danger to public health or safety.

Federal employees have many options on where to disclose wrongdoing, including but not limited to, making disclosures to supervisors or someone higher up in management; agency's Inspector General (IG); OSC; or, Congress. For whistleblower disclosures involving classified national security information or other information protected from public release by law (e.g. patient privacy information), whistleblowers must use confidential channels such as an IG, OSC, or Congress in order to be protected from adverse personnel actions related to their disclosures.

OSC has jurisdiction to protect federal employees at most agencies from retaliation for filing an appeal, complaint, or grievance; helping someone else file or testifying on their behalf; cooperating with or disclosing information to the Special Counsel or an Inspector General; or, refusing to obey an unlawful order.

Can I keep my identity confidential?

Yes. Most Inspectors General have hotlines that allow employees to make confidential disclosures. Inspectors General are prohibited from disclosing an employee's identity unless the IG determines that disclosure is unavoidable or is compelled by a court order. If you file a disclosure with OSC, your identity will not be shared outside of OSC without your consent. However, OSC may disclose your identity only if OSC determines that it is necessary because of an imminent danger to public health or safety or an imminent violation of any criminal law.

What will OSC do once I make a disclosure?

When a federal employee discloses wrongdoing to OSC, OSC evaluates the information and interviews the federal employee. OSC determines whether it is substantially likely that the employee's allegation – or any portion of it – can be proven and whether it discloses a violation of a law, rule, or regulation; gross mismanagement; a gross waste of funds; an abuse of authority; or a substantial and specific danger to public health or safety. If it meets that standard, OSC will require the agency to investigate and submit a report of the agency's findings to OSC. The whistleblower then has an opportunity to comment on the agency report. Those comments, together with any comments or recommendations by the Special Counsel, are sent with the agency report to the President and congressional oversight committees. The agency report is usually made available to the public.

Are whistleblowers protected from retaliation?

Yes. The Whistleblower Protection Act prohibits retaliation. This means it is unlawful for agencies to take or threaten to take a personnel action against an employee because he or she disclosed wrongdoing. Personnel actions can include poor performance review, demotion, suspension, or termination.

However, disclosures of information specifically prohibited by law or required by Executive Order to be kept secret are protected only when made to an OIG, OSC, or Congress. Additionally, federal law establishes that a federal employee has the right to communicate with and provide information to Congress.

What can you do if you believe retaliation occurred?

If you believe that an agency has retaliated against you because of your whistleblowing or because you engaged in protected activity such as disclosing information to an Inspector General, you can:

- file a complaint with OSC, which may seek corrective action when warranted;
- file a union grievance; or
- if you have been subject to a significant personnel action, you can file an appeal with the Merit Systems Protection Board (MSPB; www.mspb.gov) and assert retaliation as a defense.

Note that a federal employee may choose only one of these three options when appealing a significant personnel action.

What relief is available to an employee who has suffered retaliation?

Many forms of relief are available. They include job restoration, reversal of suspensions and other adverse actions, back pay, reasonable and foreseeable consequential damages, such as medical costs, attorney fees, and compensatory damages. In addition, damages may be awarded for attorney fees and expenses incurred due to retaliation.

Can the OSC delay a personnel action while the matter is investigated?

Yes. An individual may ask OSC to delay, or “stay,” an adverse personnel action pending an investigation. OSC will consider requesting a delay of a personnel action if OSC has reasonable grounds to believe that a prohibited personnel action was taken and, absent a stay, the employee will be subjected to immediate and substantial harm, such as removal, suspension for more than 14 days, or geographic reassignment.

How can the OSC remedy a prohibited personnel practice?

Federal employees may report suspected prohibited personnel practices (PPPs) to OSC. Their complaint will be investigated. If there is sufficient evidence to prove a violation, OSC can seek corrective action, disciplinary action, or both. Alternatively, parties in selected cases may agree to mediate their dispute in order to reach a mutually agreeable resolution of the complaint. OSC may attempt to resolve a case with an agency at any stage. If an agency refuses to provide corrective action, then OSC can take the case to the MSPB. The MSPB can order the agency to take corrective action. Such litigation begins with the filing of a petition by OSC that alleges there are reasonable grounds to believe a prohibited personnel practice occurred, is occurring, or is imminent.

Can a manager be held accountable for retaliating against a federal employee?

Yes. OSC may seek disciplinary action against any employee who commits a prohibited personnel practice. If an agency fails to take disciplinary action, then OSC can bring a disciplinary action case to the MSPB against the employee who committed the prohibited personnel practice. If the MSPB finds that an individual has committed a prohibited personnel practice, it can order disciplinary action, including removal, reduction in grade, debarment from federal employment for up to five years, suspension, reprimand, or a fine of up to \$1,000.

For more information on prohibited personnel practices (PPPs), including retaliation, go to www.osc.gov/ppp.

To learn more about filing a whistleblower disclosure with OSC, go to www.osc.gov/disclose.

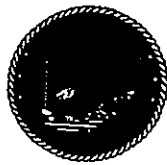
To file a PPP complaint or whistleblower disclosure with OSC, go to www.osc.gov/efile.

U.S. Office of Special Counsel

1730 M Street, N.W., Suite 218 | Washington, D.C. 20036
Tel: (202) 254-3600 | Fax: (202) 254-3711 | TTY: 1-800-877-8339 |

www.osc.gov

Rev. 06/2015



Whistleblowing

A "whistleblower" discloses information he or she reasonably believes evidences:

- A violation of any law, rule, or regulation
- An abuse of authority
- Gross mismanagement
- A substantial and specific danger to public health
- A gross waste of funds
- A substantial and specific danger to public safety

Disclosures may be made within the U.S. Department of Justice (DOJ) to the Office of the Inspector General, or outside the DOJ to the U.S. Office of Special Counsel.

- The Office of the Inspector General (OIG) is a statutorily created independent entity whose mission is to detect and deter waste, fraud, abuse, and misconduct in DOJ programs and personnel, and to promote economy and efficiency in those programs. The OIG provides a secure channel through which applicants and current DOJ employees and employees of a DOJ contractor, subcontractor, or grantee may make confidential disclosures.
- The Office of Special Counsel (OSC) provides a secure channel outside the DOJ through which current and former employees and applicants may make confidential disclosures. OSC evaluates the disclosures to determine whether there is a substantial likelihood that one of the categories listed above has been disclosed. If such a determination is made, OSC has the authority to require the head of the agency to investigate the matter.

For more information or to make a disclosure, contact:

U.S. Department of Justice Office of the Inspector General
Investigations Division
950 Pennsylvania Avenue, N.W.
Room 4706
Washington, D.C. 20530
Phone: (800) 869-4499
www.justice.gov/oig/hotline/

or

U.S. Office of Special Counsel
1730 M Street, N.W., Suite 218
Washington, D.C. 20036-4505
Phone: (202) 254-3640* Toll Free: (800) 572-2249*
*Hearing and Speech Disabled: Federal Relay Service (800) 877-8339
www.osc.gov/wbdisc.htm

For additional information about OIG whistleblower rights and protections, contact the OIG Whistleblower Ombudsperson Program at (202) 514-3435.



WHISTLEBLOWER RETALIATION

5 U.S.C. § 2302(b)(8)

What Is Whistleblower Retaliation?

A federal employee authorized to take, direct others to take, recommend or approve any personnel action may not take, fail to take, or threaten to take any personnel action against an employee because of protected whistleblowing.

EXAMPLE: A supervisor directs the geographic reassignment of an employee because the employee reported safety violations to senior agency officials.

Protected whistleblowing is defined as disclosing information which the discloser reasonably believes evidences:

1. a violation of law, rule, or regulation,
2. gross mismanagement,
3. gross waste of funds,
4. an abuse of authority, or
5. a substantial and specific danger to public health or safety.

What Can You Do If You Believe Whistleblower Retaliation Has Occurred?

If you believe that you have been subject to retaliation for protected whistleblowing you can file a complaint with the Office of Special Counsel (OSC). OSC is an independent agency that investigates and prosecutes allegations of prohibited personnel practices (PPP) by federal employees. OSC has the authority to investigate PPPs, including allegations of whistleblower retaliation, and may seek corrective or disciplinary action when warranted.

For more information or to make a disclosure, contact:

U.S. Department of Justice Office of the Inspector General
Investigations Division
950 Pennsylvania Avenue, N.W.
Room 4706
Washington, D.C. 20530
Phone: (800) 869-4499
www.justice.gov/oig/hotline/

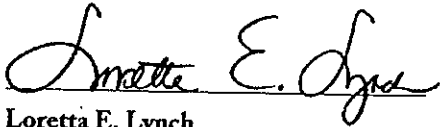
or

U.S. Office of Special Counsel
1730 M Street, N.W., Suite 218
Washington, D.C. 20036-4505
Phone: (202) 254-3640* Toll Free: (800) 572-2249*
*Hearing and Speech Disabled: Federal Relay Service (800) 877-8339
www.osc.gov/wbdisc.htm

For additional information about OIG whistleblower rights and protections, contact the OIG Whistleblower Ombudsperson Program at (202) 514-3435.



U.S. DEPARTMENT OF JUSTICE EQUAL EMPLOYMENT OPPORTUNITY POLICY


Loretta E. Lynch

The Department of Justice works diligently to foster a work environment that upholds the principles of fairness, equality, and respect for differences. Our adherence to these principles will provide Justice employees the equal opportunity to help advance our important mission, thus ensuring that all Americans are afforded the freedoms and protections guaranteed by our Nation's laws.

We are committed to ensuring equal employment opportunity (EEO) in all aspects of the Department's important work, and resolve to:

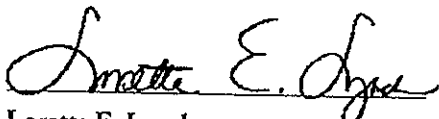
- Educate all employees of their rights and responsibilities under the law and identify and eliminate barriers to equal employment.
- Foster an inclusive work environment that embraces diversity of opinion and background and is free of discrimination and harassment.
- Ensure that no applicant or employee will be denied equal opportunity because of race, color, religion, national origin, sex, gender identity, age, disability (physical or mental), genetic information, status as a parent, sexual orientation, marital status, political affiliation, or any other impermissible factor. Prohibited discrimination and harassment, including sexual harassment, are not tolerated at the Department of Justice and when it is found to have occurred, the Department will take appropriate corrective and/or disciplinary action in a swift manner against those who have engaged in such behavior.
- Establish and maintain policies that afford applicants and employees the right to raise allegations of discrimination and harassment without fear of reprisal.
- Use alternative dispute resolution (ADR) methods to resolve EEO complaints or workplace disputes in a prompt, fair, and objective manner in accordance with established agency EEO policies and procedures, which require management participation when ADR is approved for use.
- Recruit, hire, train, develop, promote, and reward employees in a fair and consistent manner, solely on the basis of merit.
- Provide reasonable accommodations for applicants and employees with disabilities in accordance with established law.

As our Nation's law enforcement agency, we must lead by example in preserving the rights of all Americans, including the talented individuals who comprise the Justice workforce. As such, all employees, executives, managers, and supervisors are expected to safeguard and advance the principles of EEO and to treat each other with dignity and respect.

DOJ IS AN EQUAL OPPORTUNITY EMPLOYER



U.S. DEPARTMENT OF JUSTICE DIVERSITY MANAGEMENT POLICY STATEMENT


Loretta E. Lynch

The Department of Justice is stronger, more credible, and more effective when our workforce includes highly-qualified individuals with backgrounds, cultures, and traditions that reflect our nation's rich diversity. By seeking out the very best and brightest, we strengthen this institution and improve its work. By ensuring a supportive atmosphere, we create a stronger and more effective team. And by empowering a wide range of leaders and public servants, we enhance our ability to develop new innovations and to achieve better results.

We value inclusion in our workforce and embrace the diverse cultural and demographic dimensions of our country. We work diligently to attract, hire, develop, and promote a workforce that represents the broad range of personal and professional experiences and perspectives that arise from different backgrounds – including persons of varying age, ethnicity, gender, disability status, race, color, sexual orientation, gender identity, religion, national origin, political affiliation, socioeconomic and family status, and geographic region. And we seek to foster an inclusive work environment that engages all employees; that offers opportunities to grow and excel; and that treats every individual with dignity and respect. That is the goal of our department-wide Diversity Management Plan – a strategic blueprint that calls for the identification and implementation of effective practices to foster diversity management across the department, sustain progress over time, and ensure accountability for results.

Throughout our history, America has drawn strength from our diverse community. The Department of Justice is committed to supporting comprehensive efforts with respect to diversity, inclusion, and employee engagement in order to build on our success and push forward into the future.

HELPFUL INFORMATION

YOUR RIGHTS AS A FEDERAL EMPLOYEE

ENFORCED BY
THE U.S. OFFICE OF SPECIAL COUNSEL

I. THE U.S. OFFICE OF SPECIAL COUNSEL (OSC) is an independent agency that investigates and prosecutes allegations of prohibited personnel practices (PPP).

WHAT IS A PROHIBITED PERSONNEL PRACTICE (PPP)?:

Under 5 U.S.C. §2302(b)(1)-(b)(13) a federal employee authorized to take, direct others to take, recommend or approve any personnel action may not:

- **Discriminate (including discrimination based on marital status and political affiliation).** *EXAMPLE: Supervisor Joe refuses to promote Employee Jane because Jane is a registered Republican; or his refusal is because she is a single mother. (OSC will generally defer Title VII discrimination allegations to the EEO process, rather than duplicating already existing procedures.)*
- **Solicit or consider employment recommendations based on factors other than personal knowledge or records of job-related abilities or characteristics.** *EXAMPLE: Selecting Official Joe hires Applicant Jack based on Senator Smith's recommendation that Jack be hired because Jack is a constituent; or fails to hire Applicant Jane because of Congressman Smith's recommendation based on the Congressman's friendship with Jane's parents.*
- **Coerce the political activity of any person, or take action against any employee as reprisal for refusing to engage in political activity.** *EXAMPLE: Supervisor Jane takes away significant job duties of Employee Jack because Jack will not make a contribution to Jane's favorite candidate.*
- **Deceive or willfully obstruct any person from competing for employment.** *EXAMPLE: Supervisor Joe, located in Headquarters, orders that no vacancy announcements be posted in the field office where Employee Jack works because he does not want Jack to get a new job; or falsely states that there will be extensive travel in the position when he knows that there is no travel.*
- **Engage in nepotism.** *EXAMPLE: Second-level Supervisor Jane asks First-level Supervisor Joe to hire her son; or to promote her daughter.*
- **Take a personnel action against an employee because of whistleblowing.** *EXAMPLE: Supervisor Joe directs the geographic reassignment of Employee Jack because Jack reported safety violations to the agency's Inspector General; or because employee Jill reported a gross waste of funds to the Office of Internal Affairs.*
- **Take a personnel action against any employee because of the exercise of an appeal, complaint, or grievance right.** *EXAMPLE: Supervisor Jane places Employee Jack on an undesirable detail because Employee Jack filed an administrative grievance about his performance rating.*
- **Discriminate against an employee on the basis of conduct, which does not adversely affect the performance of the employee, including discrimination based on sexual orientation.** *EXAMPLE: Jack's employment is terminated because he attended a "Gay Pride" march; or he attended a "Pro-Life" event; or he attended an animal rights rally; or he attended a gun-owners' rights meeting.*
- **Take or fail to take a personnel action, if such action would violate a veterans' preference requirement.** *Example: Supervisor Jane hired Employee Jack, without considering Veteran Jennifer, who was included on the list of eligible employees. (OSC's jurisdiction is for disciplinary actions only; the Dept. of Labor has jurisdiction to investigate for corrective actions.)*

- Influence any person to withdraw from competition for a position to improve or injure the employment prospects of any other person.
EXAMPLE: Supervisor Jane, in an effort to hire Employee Joe, tells Employee Jack that he should not apply for a position because he is not qualified and will never be selected. Employee Jack is qualified.
- Give an unauthorized preference to a person to improve or injure the employment prospects of any particular employee or applicant.
EXAMPLE: Supervisor Jane specifies that Spanish-speaking skills are necessary for a vacant position, for the purpose of selecting Employee Jack, who speaks fluent Spanish. The position, however, does not require Spanish-speaking skills.
- Take a personnel action against an employee which violates a law, rule, or regulation which implements a merit systems principle.
EXAMPLE: Supervisor Joe terminates the probationary appointment of Employee Jack because of Jack's letter to the editor criticizing affirmative action - a valid exercise of First amendment rights, a law implementing a merit system principle.
- Implement or enforce a nondisclosure agreement or policy lacking notification of whistleblower rights. *EXAMPLE: A manager requires all employees in his program to sign a non-disclosure agreement that prohibits the employees from discussing the program in any way and fails to notify employees of protected channels for making disclosures.*

What can you do if you believe a PPP has been committed?

An employee who believes a PPP has been committed can file a written complaint with the U.S. Office of Special Counsel. Complaint forms are available on the Web at www.osc.gov. Employees do not need attorneys to file a complaint. OSC is an independent and prosecutorial agency. It will investigate allegations of prohibited personnel practices, and seek any corrective and disciplinary action.

II. The U.S. Office of Special Counsel also receives confidential disclosures and enforces the Hatch Act

RECEIVING CONFIDENTIAL DISCLOSURES (5 U.S.C. §1213):

Current and former federal employees and applicants can confidentially report information evidencing a violation of any law, rule, or regulation, gross mismanagement, a gross waste of funds, an abuse of authority, or a substantial and specific danger to public health or safety. The OSC has the authority to require the head of the agency concerned to investigate the matter if OSC determines that a disclosure has been made.

ENFORCING THE HATCH ACT (5 U.S.C. §7321-26):

The Office of Special Counsel is authorized to issue advisory opinions that respond to federal employee questions about whether or not they may engage in specific political activities under the Act. The OSC also prosecutes violations of the Hatch Act before the Merit Systems Protection Board. These violations include: using official authority to interfere with an election result; soliciting, accepting or receiving political contributions; soliciting or discouraging political activity of persons before the employing agency; and running for public office in a partisan political election.

Need additional information?

- Information on filing a complaint: 202-254-3600 or 800-872-9855.
- Information on making a disclosure: 202-254-3640 or 800-572-2249.
- Updated and detailed information on OSC and its procedures- visit our web page: www.osc.gov.



U.S. Office of Special Counsel
1730 M Street N.W., Suite 218
Washington D.C. 20036-4505

Preferences Menu

The Preferences menu allows employees to maintain their user ID and password, store two email addresses, and set up challenge questions. User IDs and passwords can be changed at any time. With the ability to store two email addresses in EPP, employees can receive email notifications from NFC and recover lost user IDs and passwords.

Requests for EPP Access

Employees should access the NFC home page on the Internet (www.nfc.usda.gov) and select My EPP. To obtain a password, employees should select the signup icon. The password will be mailed directly to the employee by NFC. The NFC-assigned password must be changed by the employee on the first access of the EPP. Employees are encouraged to periodically change this password to ensure confidentiality.

System Requirements

- A personal computer with Internet capabilities
- Access to the Internet with one of the following browsers:
 - Microsoft Internet Explorer Version 6 or higher
 - Netscape
 - Firefox Version 3 or higher
 - Safari
- A browser supporting 128-bit Secure Socket Layer encryption (United States version)

Procedure and Online Help

Additional information on the use of EPP/ESS is available to employees within the EPP Procedure Manual. The EPP procedure can be accessed from the **Publications** link of NFC's Home Page (www.nfc.usda.gov). Online help is also available within EPP itself by selecting the **Help** link on the EPP top navigation menu.

Additional Information

Employees with questions about their EPP should contact their agency personnel office. Agencies needing additional information on the EPP should contact the Client Management staff at:

Client Management Branch
National Finance Center, USDA
ATTN: CS-0811
P.O. Box 60000
New Orleans, LA 70160-0001
email: customer.support@usda.gov

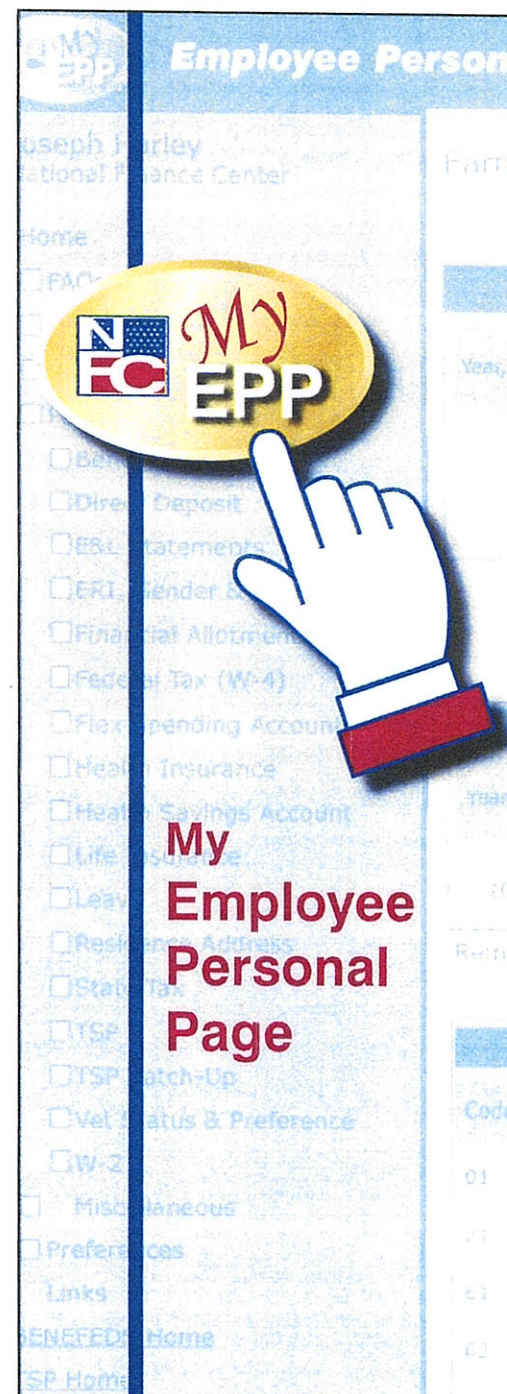


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U. S. DEPARTMENT OF AGRICULTURE
NEW ORLEANS, LA

National Finance Center
Office of the Chief Financial Officer
United States Department of Agriculture

Form AD-1129 (Rev. 8/11)



Connected, Powerful, Convenient!

Have you ever wanted to improve your skills so that you could enhance your job performance?

Have you ever wanted to go to training but there was no training money in the budget?

Are you frustrated with the paperwork process for requesting external training (SF -182)?

With **learnDOJ**, desktop training is available to JMD employees on a variety of topics and training data can be tracked and reported.

learnDOJ has a *powerful* library of approximately 3,000 online courses including leadership, management, information technology, Microsoft Office, and business skills courses that will empower you to improve your skills. You may, with your supervisor's approval, take any course in the library at no cost! **learnDOJ** is *convenient* as it delivers training to your computer or mobile device wherever you are, and eliminates the time and cost of traveling to training. **learnDOJ** conveniently automates the SF-182 (External training form) application and approval process. It knows who you are when you start the application process, so the top of the form is already completed for you!

When You Can Use **learnDOJ**:

You will be able to use **learnDOJ** once your personnel data are entered into the National Finance Center (NFC) Data Base and that data are transferred to **learnDOJ** (usually 3 to 4 weeks after you are hired). Once you receive your logon credentials from your staff's Training Coordinator (see list on back) you may log into **learnDOJ**. Please complete the following mandatory items listed on your "To Do" list.

The No Fear Act – *(Required completion within 30 days)*

Domestic Violence, Sexual Assault, and Stalking in the workplace (DVSAS)

DOJ CyberSecurity Awareness Training– *(Required completion within 30 days)*

Records and Information Management I – *(Required completion within 30 days)*

EOD Orientation – *(Informational Documents)*

Welcome to the Department of Justice – *(Video welcome by John Walsh)*

Thousands of users have logged into the system and are already using **learnDOJ**. Get ready to take advantage of connected, powerful and convenient **learnDOJ**? Contact your Staff's Training Coordinator (listing attached on back) to obtain your user ID and password. Once received, you can access all **learnDOJ** offers at www.learnDOJ.gov.



Approved On: October 23, 2014

DOJ Policy Statement

PRO BONO LEGAL SERVICES

PURPOSE: This Policy Statement establishes Department policy and procedures for *pro bono* legal services.

SCOPE: All DOJ employees

ORIGINATOR: Professional Responsibility Advisory Office

CATEGORY: (I) Administrative, (II) Human Resources

AUTHORITY: 18 U.S.C. § 202, *et seq.* (Federal Conflict of Interest Laws); 5 U.S.C. §§ 7323(a) and 7324(a) (The Hatch Act); 5 C.F.R. Part 734 (Political Activities of Federal Employees); 5 C.F.R. Part 2635 (Standards of Ethical Conduct for Employees of the Executive Branch); 5 C.F.R. § 3801.106 (rule governing outside employment by DOJ employees); Executive Order 12988 (Feb. 5, 1996); Office of Personnel Management Memorandum to Executive Agency Heads dated April 6, 2004.

CANCELLATION: Policy on *Pro Bono* Legal and Volunteer Services, approved by the Attorney General on May 5, 2000.
<http://dojnet.doj.gov/jmd/ps/volunteer/pro-bono-sample.pdf>

DISTRIBUTION: This Policy Statement is distributed electronically to those components referenced in the 'SCOPE' section as well as posted on the DOJ Directives electronic repository (SharePoint).

APPROVED BY: Eric H. Holder, Jr.
Attorney General

ACTION LOG

All DOJ directives are reviewed, at a minimum, every five years and revisions are made as necessary. The action log records dates of approval, recertification, and cancellation, as well as major and minor revisions to this directive. A brief summary of all revisions will be noted. In the event this directive is cancelled, superseded, or supersedes another directive, that will also be noted in the action log.

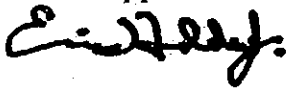
Action	Authorized by	Date	Summary
Initial Approval 	Eric H. Holder, Jr. Attorney General	Oct. 23, 2014	Establishes under DOJ's Directives Program the policy and procedures for <i>pro bono</i> legal activity, including the use of administrative leave.

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GLOSSARY OF TERMS

DEFINITIONS

Term	Definition
Administrative Leave	Excused absence from duty without loss of pay or charge of leave.
Approved <i>Pro Bono</i> Activity	An outside activity which has been approved according to the procedures and requirements provided in this document.
Business Hours	Designated hours during which an employee is on duty.
General Approval	Approval of a legal services program given by a component head to permit employees in that component to participate in opportunities offered by that legal services program. Employees must still seek individual approval from their direct supervisors and the component's Designated Agency Ethics Officer.
Non-Representational Activity	A <i>pro bono</i> activity in which the attorney does not enter into an ongoing attorney-client relationship and does not sign a retainer agreement with the client. Brief advice clinics are an example of a non-representational activity.
<i>Pro Bono</i> Legal Services	Outside activity in the provision of legal services performed without compensation and include, but are not limited to, the provision of legal services for: 1) persons of limited means or other disadvantaged persons; 2) charitable, religious, civic, community, governmental, health, and educational organizations in matters that are designed primarily to address the needs of persons of limited means or other disadvantaged persons, or to further their organizational purpose; 3) individuals, groups, or organizations seeking to secure or protect civil rights, civil liberties or public rights; or 4) activities seeking to improve the law, the legal system, or the legal profession. "Performed without compensation" means that no person or organization may be compensated for the employee's time, e.g., fees may not be sought by anyone for a Department attorney's services in a <i>pro bono</i> case.
Representational Activity	A <i>pro bono</i> activity in which the attorney enters into an ongoing attorney-client relationship and signs a retainer agreement for a specific task on behalf of the client.

ACRONYMS

Acronym	Meaning
DOJ	Department of Justice
OPM	Office of Personnel Management
DDAEO	Deputy Designated Agency Ethics Official

I. Policy

Given the significant unmet need for legal and other community services in the nation, it is the policy of the Department of Justice (DOJ or Department) to encourage and support efforts by Department employees to provide *pro bono* legal and related volunteer services within their communities consistent with applicable federal statutes and regulations governing conflicts-of-interest and outside activities. While service in the Department is one of the highest forms of public service, the Department further strives to increase access to justice for all and to strengthen our communities. To this end, the Department encourages its employees to set a personal goal of at least 50 hours per year of *pro bono* legal service. *See* American Bar Association Model Rule 6.1.

II. Limitations on *Pro Bono* Legal Services

A. General Procedures

An employee seeking to engage in any *pro bono* legal services must follow agency procedures governing participation in outside activities, and should consult with his or her Deputy Designated Agency Ethics Official (DDAEO) (all references to "DDAEO" are meant to include other ethics officials in the component who have been designated by the DDAEO to provide ethics advice) regarding the prior approval requirements that are set forth below. *See* 5 C.F.R. § 3801.106.

1. Standards for Approval. In general, approval of an employee's request to engage in *pro bono* legal work shall be granted if the work would not:
 - a. violate any federal statute, rule or regulation, including, for example, 18 U.S.C. § 202, *et seq.* (Federal Conflict of Interest Laws); 5 C.F.R. Part 2635 (Standards of Ethical Conduct for Employees of the Executive Branch); or 5 C.F.R. § 3801.106 (rule governing outside employment by DOJ employees);
 - b. interfere with the proper and effective performance of the employee's official duties, including the time and availability requirements of his or her position, *see* 5 C.F.R. § 2635.705;
 - c. create or appear to create a conflict of interest, *see* Section II.C. below; or
 - d. cause a reasonable person to question the integrity of the Department's programs or operations.
2. Approval Procedures. Participation by an employee in *pro bono* legal services requires prior approval from the component head, and, in rare circumstances, a waiver from the Deputy Attorney General. *See* 5 C.F.R. § 3801.106(b). The procedures for obtaining approval differ depending on (a) whether the *pro bono*

activity has been "generally approved" by the component head, and (b) whether the *pro bono* activity is representational or non-representational in nature. Employees with questions about any of the procedures set forth below should consult with their DDAEO.

- a. Activities That Have Been Generally Approved: Component heads may designate some *pro bono* legal services and legal services referral programs as "generally approved" for employees in their components. The designation of an activity or program as "generally approved" indicates that employees in the component have permission to engage in these services, or seek referrals from these programs, without having to seek further permission from their component head. In the case of non-representational activities, such as walk-in clinics, the general approval conferred by the component head covers the employee's participation in the activity as well as minimal follow-up activity such as providing information, making phone calls for the client, or making a referral for further assistance. In the case of referrals from legal services organizations, the general approval conferred by the component head permits the employee to *seek* cases from the programs; however, in order to *accept* a case for representation, the employee must also obtain a case-specific approval as is described *infra*.

Component heads are encouraged to designate some services and programs as generally approved because it shortens the approval process for *pro bono* work and makes it easier for employees to participate in *pro bono* legal services. General approval is appropriate where the issues likely to arise during the employee's participation generally do not present an obvious conflict for employees in the component and where the sponsoring organization provides malpractice insurance for volunteers.

- b. Activities That Have Not Been Generally Approved: It is possible for an employee to engage in *pro bono* legal services, or accept cases from legal services referral programs, that have not been designated as generally approved by his or her component head. In order to do so, the employee must seek approval from his or her component head through his or her DDAEO and supervisor, as is described *infra*.
3. Approval Requirements. *Pro bono* legal services fall into two categories: non-representational activities and representational activities. The necessary approvals for each activity are as follows.
 - a. Non-Representational Activities: In order for an employee to engage in a non-representational activity such as a walk-in clinic or a legal rights workshop, he

or she must have approval from his or her component head. If the activity has been "generally approved," the employee does not need to seek any further approval in order to participate in the program and to perform minimal follow-up activities. Nonetheless, the employee must give notice of his or her participation to his or her DDAEO and supervisor, and be provided with a summary of the rules governing participation in the *pro bono* legal services.

If the activity has not been generally approved by the component head, the employee must obtain approval from his or her component head through his or her DDAEO and supervisor.

- b. Representational Activities: In order for an employee to represent a client in a *pro bono* case, the employee must obtain approval from three individuals: (1) the component head; (2) the DDAEO; and (3) the employee's supervisor. If the legal services organization referring the *pro bono* case has been designated as "generally approved" by the component head, the employee does not need further approval from the component head to accept the case for representation. However, the employee still needs to obtain written case-specific approval from his or her DDAEO and supervisor before proceeding. The purpose of case-specific approval is to ensure that the specific case that the employee wishes to accept does not present any conflicts or other issues that would preclude representation. General approval by the component head does **not** obviate the need for this case-specific approval.

If the employee wishes to accept a case from a legal services referral program that has **not** been generally approved by the component head, he or she must obtain case-specific approval from the component head as well as the DDAEO and supervisor. The employee should consult with the DDAEO for assistance seeking approval from the component head.

Written requests for case-specific approval must include the facts and issues in the specific case and state whether the employee/legal services program has malpractice insurance. The approvals must reflect a case-specific conflicts check, acknowledgment of the applicable rules and acknowledgment of the need to seek supervisory approval for any duty time/annual leave that may be needed to represent the client.

4. Where an employee has been denied approval to perform *pro bono* legal services, the employee can seek automatic review by the component head.

B. Prohibited Activities and Conflicts of Interest

1. General Standard. Department employees may not engage in *pro bono* legal services that create or appear to create a conflict of interest with their work for the Department. Under the Standards of Ethical Conduct for Employees of the Executive Branch, 5 C.F.R. Part 2635, and the Department's supplemental standard of conduct, 5 C.F.R. § 3801.106, a conflict of interest generally exists where the services would:
 - a. require the recusal of the employee from significant aspects of the employee's official duties, *see* 5 C.F.R. § 2635.802(b);
 - b. create an appearance that the employee's official duties were performed in a biased or less than impartial manner, *see* 5 C.F.R. § 2635.502; or
 - c. create an appearance of official sanction or endorsement, *see* 5 C.F.R. § 2635.702(b).
2. 18 U.S.C. § 205. With limited exceptions, outside activities may not include the representation of third parties before the federal government. *See* 18 U.S.C. § 205.
3. Criminal Representation. Under the Department's outside employment regulation, employees are prohibited from participating in outside employment that involves any criminal or *habeas corpus* matter, whether Federal, state or local. *See* 5 C.F.R. § 3801.106(b)(ii). There may be cases where a criminal issue or criminal conduct may be related to the case, but is attenuated from the matter for which the DOJ attorney seeks to provide services. In these circumstances, it may be appropriate for the employee to participate in the matter, but specific approval from the Deputy Attorney General may be necessary. Employees who wish to seek such approval, or have any questions as to whether their case requires approval, should contact their DDAEO.
4. Matters Involving the Department of Justice. Department employees are prohibited from participating in outside employment that involves litigation, investigations, grants or other matters in which the Department of Justice is or represents a party, witness, litigant, investigator or grant-maker. *See* 5 C.F.R. § 3801.106(b)(iii). This prohibition may be waived by the Deputy Attorney General under certain limited conditions. Employees should contact their DDAEO if they wish to request a waiver.

5. Responsibility for Conflicts Check.

- a. The component head or the component head's designee will be responsible for ensuring that a conflicts check is completed for *pro bono* legal services prior to approving such services. Every *pro bono* case must receive a case-specific conflicts check before it is accepted, whether the attorney has taken it on through a generally approved *pro bono* activity or another program.
- b. The Department employee will be responsible for ensuring that his or her *pro bono* legal services do not present a conflict of interest and do not otherwise violate any applicable statute or regulation.

The issue of conflicts should be determined by reference to the government-wide standards of conduct, 5 C.F.R. Part 2635 (particularly §§ 2635.801 - .802), and the Department's supplemental standard of conduct, 5 C.F.R. § 3801.106.

Application of these standards of conduct necessarily will involve the exercise of judgment. These judgments likely will differ from one component and situation to another. For this reason, each component is asked to work with the *Pro Bono* Manager, see Section V, and the Department's Designated Agency Ethics Official (DAEO) in setting its own component-specific conflict standard. If a volunteer has questions about conflicts, he or she should consult his or her DDAEO. The *Pro Bono* Manager is also available for consultation. See Section V.

Hatch Act Policy: Outside activity by Department employees must comport with the Hatch Act (5 U.S.C. §§ 7323(a) and 7324(a)), 5 C.F.R. Part 734, and with the Deputy Attorney General's July 14, 2014, memoranda delineating the Department's policy concerning political activities by employees. Department policy holds all political appointees to the restrictions of 5 C.F.R. Part 734, subpart D.

Non-Representational Assistance: Department employees may provide non-representational assistance without compensation, such as assistance in the filling out of forms for persons seeking government benefits, and may assist in the preparation of tax returns without compensation (e.g., through the Voluntary Income Tax Program), provided that the services satisfy the approval requirements of Section II.A. of this Policy Statement and do not present a conflict of interest, as addressed in Section II.B. In matters in which the Department is or represents a party, witness, litigant, investigator, or grant-maker, a waiver from the Deputy Attorney General must be obtained.

C. Additional Considerations

1. Malpractice Coverage. Before agreeing to meet with or accept a *pro bono* legal client, a Department attorney should determine whether the referring *pro bono* program or organization has a malpractice insurance policy that covers volunteer attorneys. The Department does not provide malpractice coverage for *pro bono* work. Immunities that may be granted to government attorneys in the performance of their official duties do not extend to *pro bono* work because attorneys providing *pro bono* legal services are not acting in their official capacity. Therefore, the Department strongly encourages Department attorneys to work with a legal services provider that carries malpractice insurance.
2. Restrictions on the Unauthorized Practice of Law. Generally, attorneys performing *pro bono* work must be licensed in the jurisdictions where they are practicing. A few jurisdictions have exceptions to this rule. Attorneys should consult with the *Pro Bono* Program Manager, their Professional Responsibility Officer, the Professional Responsibility Advisory Office, or their state bar association to determine whether they are authorized to engage in *pro bono* work in specific jurisdictions.

III. Use of Official Position or Public Office

Department employees who provide *pro bono* legal services may not indicate or represent in any way that they are acting on behalf of the Department of Justice or in their official capacity. The incidental identification of an employee's position or office -- for example, when an office number and street address are not sufficient to ensure mail delivery or when receiving a telephone call or using e-mail -- is not prohibited.

A Department employee may not use office letterhead, agency or office business cards or fax cover-sheets, or otherwise identify himself or herself as a Department employee in any communication, correspondence, or pleading connected with *pro bono* legal. When using external e-mail, the employee should indicate that the e-mail is being sent in his or her personal capacity and not in his or her official capacity as a Department of Justice employee.

A Department attorney is responsible for ensuring that there is no misunderstanding by the client, any opposing parties, or others involved in a *pro bono* case, that the attorney is acting in his or her individual capacity as a volunteer, and is not acting as a representative of, or on behalf of, the Department.

IV. Use of Agency Resources

A. Hours of Work

Department employees are encouraged to seek *pro bono* legal services opportunities that can be accomplished outside their scheduled working hours. However, *pro bono* legal services may sometimes occur during work hours. Supervisors are urged to be flexible and to accommodate, where feasible, the efforts of their employees to do *pro bono* legal work. Employees seeking to participate in *pro bono* legal services during work hours may also be granted leave without pay, annual leave, or, in limited circumstances, administrative leave, as explained further below. When considering employee requests for leave to engage in *pro bono* legal services, supervisors should give due attention to the effect of the employee's absence on office operations. A supervisor's personal views regarding the substance of the *pro bono* legal services may not influence the decision to grant an employee's request to engage in *pro bono* legal services during hours of work.

Administrative Leave. Performing *pro bono* legal services is a professional duty for all attorneys. It also enhances the skills which Department attorneys use in their work for the Department. The majority of *pro bono* legal services can typically be performed on the attorneys' own personal time during evenings and weekends. However, some tasks, such as court appearances and mediations, cannot be done outside of business hours and thus require some form of leave. To support the fulfillment of this professional duty, the Department provides 30 hours per year of administrative leave for approved *pro bono* activity that cannot be accomplished outside of business hours for all attorneys and legal staff.

Supervisors will consider the following factors when reviewing a request for administrative leave for approved *pro bono* activity: First, the supervisor will determine whether the activity cannot be accomplished outside of business hours. For example, if the activity, such as a court appearance or meditation, can only be scheduled during business hours, then this criterion is met. Second, the supervisor will determine whether the employee has already received 30 or more hours of administrative leave for approved *pro bono* activity during that calendar year. If not, then this criterion has been met.

Administrative leave must not be granted for *pro bono* legal services that directly benefit an employee or those with whom an employee has a personal relationship.

B. Use of Office Equipment

As a general rule, employees may use government property only for official business or as authorized by the government. *See* 5 C.F.R. §§ 2635.101(b)(9), .704(a); *see also* 28 C.F.R. § 45.4. Department policy authorizes the following personal uses of government office and library equipment and facilities:

1. personal uses that involve only negligible expense to the government (such as electricity, ink, small amounts of paper, and ordinary wear and tear) and that does not interfere with the conduct of official business of others; and
2. limited personal telephone and fax calls to locations within the office's commuting area, or that are charged to non-government accounts.

When office computers, printers and copiers are used in moderation, there is only negligible additional expense to the government for electricity, ink and wear-and-tear. Such use, therefore, is authorized as long as only small amounts of paper are involved and as long as the use does not interfere with official business. Employees should contact their supervisor if there is any question whether an intended use involves "negligible" expense or "small amounts" of paper.

Research and Electronic Databases: This policy does not authorize the personal use of commercial electronic databases when there is an extra cost to the government. However, use of research tools which do not incur any additional cost to the Department, such as Westlaw and LEXIS, is authorized; employees should identify the client or project as "pro bono" or "volunteer." In addition, research using the library's books or microfiche is authorized, as it involves only negligible additional expense to the United States.

Telephones and Fax Machines: This policy also authorizes limited personal telephone/fax calls to locations within the office's commuting area, or that are charged to non-government accounts (e.g., personal telephone credit cards). Again, such use must not interfere with official business, and supervisors should be consulted if there is any question as to whether such use is in fact "limited."

E-Mail and Internet Services: This policy allows limited use of Department e-mail and Internet services. For example, employees may use internal e-mail to consult with the *Pro Bono* Program Manager, the component representative, their DDAEO, or another DOJ employee also working on a case or volunteer matter. Occasional individual e-mails to colleagues on a question related to *pro bono* legal services are

also permitted, as are group or broadcast e-mails by *pro bono* component representatives and the *Pro Bono* Program Manager. Reasonable use of external e-mail is also permitted, as long as employees indicate that the e-mail is sent in their personal, rather than official, capacity. With respect to Internet use, employees should be familiar with the Department's policies concerning Internet use since there are additional security, confidentiality and other considerations that apply to Internet use. Employees may consult with their DDAEO or their *pro bono* representative about such policies.

This *pro bono* policy does not override statutes, rules, or regulations governing the use of specific types of government property or services, such as e-mail, long distance telephone service, or the Internet. It may be revoked or limited at any time by any supervisor or component for any business reason. Components may have more specific rules about personal use of government property that would also apply to *pro bono* work. Any employee who has questions about the application of this section to any particular situation should consult his or her supervisor.

In using government property, employees must be mindful of their responsibility to protect and conserve such property and to use official time in an honest effort to perform official duties. See 5 C.F.R. §§ 2635.101(b)(9), 704(a), 705(a).

C. Clerical Support

Pro bono legal services are not official duties and may not be assigned to or otherwise required of support staff.

It may be coercive to ask subordinate employees if they will volunteer to help perform *pro bono* legal or volunteer services, e.g., the typing of briefs or documents. See 5 C.F.R. § 2635.705. On the other hand, support staff may wish to volunteer their services. The *Pro Bono* Program Manager has a central pool of support staff who are willing to volunteer to support *pro bono* legal or volunteer projects. See Section V.

V. Administration of *Pro Bono* Program

A. *Pro Bono* Committee

A *Pro Bono* Committee has been established to oversee the implementation of the Department's Policy Statement. The Committee is chaired by the *Pro Bono* Program Manager, see below, and includes representatives from all components within the Department. The Committee meets on a regular basis, facilitates the distribution of information on *pro bono* opportunities, answers questions regarding *pro bono* participation, and supports the Department's participation in some *pro bono* activities.

Each component will appoint an individual as *Pro Bono* Committee Representative to publicize and coordinate *pro bono* activities within the component and office and to refer persons to the component's DDAEO for conflicts advice. The duties of the *Pro Bono* Committee Representatives shall include regular attendance at Committee meetings and distribution to component employees of materials that are obtained at meetings.

B. *Pro Bono* Program Manager

The *Pro Bono* Program Manager develops and publicizes *pro bono* legal services opportunities in order to facilitate an increase in such activities throughout the Department. The Program Manager works with U.S. Attorneys' Offices and all Department components in the development of office-specific *pro bono* programs. The Program Manager chairs the Department Committee that includes representatives from all components.

VI. Disclaimer

This Policy Statement is intended only to encourage increased *pro bono* legal and related volunteer activities by Department employees, and is not intended to create any right or benefit, substantive or procedural, enforceable at law by a party against the United States, its agencies, its officers, or any person.

The United States and the Department of Justice will not be responsible in any manner or to any extent for any negligent or otherwise tortious acts or omissions on the part of any Department employee engaged in any *pro bono* or volunteer activity. While the Department encourages *pro bono* and volunteer activities by its employees, the Department exercises no control over the services and activities of employees engaged in *pro bono* or volunteer activities, nor does it control the time or location of any *pro bono* or volunteer activity. Each employee is acting outside the scope of his or her employment whenever the employee participates, supports or joins in any *pro bono* or volunteer activity.

MOST COMMONLY ASKED QUESTIONS ABOUT THE DEPARTMENT OF JUSTICE'S PRO BONO POLICY

I. Definitions and Limitations

What types of services may I provide under the policy?

Pro bono legal work and volunteer services are broadly defined to include many different types of activities performed without compensation. Examples include, but are not limited to, services to persons of limited means or other disadvantaged persons, assistance to charitable, religious, civic, community, governmental, health, and educational organizations, services to individuals or groups seeking to protect civil rights, civil liberties or public rights, and activities seeking to improve the law or legal system.

What types of pro bono and volunteer services are prohibited?

You may not provide services that involve criminal or habeas corpus matters, whether federal, state, or local, or the representation of a third party before the federal government. In addition, any service that would conflict with your official duties is also prohibited. (See questions below on conflicts of interest.)

May I provide services to political organizations?

Yes, however, you must comply with the restrictions of the Hatch Act (5 U.S.C. § 7234) and the Department's policy concerning political activities by high-level and political appointees. It should be noted that the Office of Personnel Management has stated that it would be inappropriate to grant administrative leave to employees to engage in partisan political activities. Also, because partisan political activity is subject to more restrictive rules than other non-official activity, no partisan political activity may take place on government time or by using government property. See 5 C.F.R. Part 734.

May I represent someone in an action against the United States?

No. 18 U.S.C. § 205 prohibits you from representing another person before any court or agency of the United States, in a matter in which the United States is a party or has a direct and substantial interest. There are limited exceptions for representing your immediate family (spouse, child, and parents), fellow employees in personnel administration proceedings, and certain employee organizations in limited circumstances.

May I assist persons seeking government benefits?

Yes, in limited ways. You may provide non-representational assistance, such as filling out forms for a person seeking government benefits. However, you should be mindful

that you may not contact a federal agency, with the intent to influence, on behalf of another person except those persons permitted by 18 U.S.C. § 205(e). You may not represent a third party before any government agency.

May I prepare income tax returns?

Yes, however, you are prohibited from representing another person before the IRS in connection with a tax return.

May I assist family and friends?

Yes, provided the services you are providing fall within the definition of pro bono and/or volunteer services and you are not receiving compensation.

NOTE: Some components permit employees to represent family and friends in non-pro bono matters as long as the United States is not a party and the matter is not criminal in nature. You should contact your Deputy Designated Agency Ethics Official (DDAEO) if you would like to represent a family member or friend and the representation does not fall within the definition of pro bono or volunteer services.

II. Use of Position and Agency Resources

May I use my official position in connection with my pro bono and/or volunteer services?

No. You may not indicate or represent in any way that you are acting on behalf of the Department, or in your official capacity, when providing pro bono or volunteer services.

May I use office letterhead or my business cards?

No. You may not use office letterhead, business cards, fax cover sheets, etc., or otherwise identify yourself as a Department employee in any communication, correspondence, or pleading.

May I give out my office address and telephone number?

Yes. The incidental identification of your official position or office (for example, when a street address is not sufficient to ensure mail delivery, or when receiving a telephone call) is not prohibited.

May I use the telephone and fax machine?

Limited telephone and fax calls to locations within the office's commuting area, or that are charged to non-government accounts, are permissible. However, you should be mindful that such use must not interfere with official business.

May I use e-mail or the internet?

You may use internal e-mail to consult with your pro bono committee representative, your DDAEO, or other DOJ employees with whom you are working on a case or program. Occasional individual e-mails to colleagues on a question related to a pro bono matter are permitted, but no group or broadcast e-mails are permitted. Reasonable use of external e-mail is also permitted as long as you indicate that the e-mail is sent in your personal, rather than official, capacity. You may also use the Internet but should first familiarize yourself with the Department's policies concerning Internet use since there are security, confidentiality and other considerations that may apply.

May I use government property in connection with my services?

Yes, consistent with general DOJ policy. 28 C.F.R. Part 45-4 permits the personal use of government equipment and facilities provided there is only a negligible cost to the government (such as electricity, ink, small amounts of paper, and ordinary wear and tear). When office computers, printers, and copiers are used in moderation, there is only negligible cost to the government as long as only small amounts of paper are involved and the use does not interfere with official business. You should contact your supervisor if there is any question about whether your use is "negligible."

May I ask my secretary to assist me?

No. Pro bono and volunteer services are not official duties and may not be assigned to or required of support staff.

What if my secretary offers to help?

The Pro Bono Manager has a central pool of support staff who are willing to provide clerical services. Your secretary should contact her to join the pool.

May I use Westlaw and other electronic computer databases?

You may use Westlaw and Lexis when engaging in pro bono services, but after you log on with your name, you **must** identify the client or matter as "pro bono." You may not use other electronic computer databases for which the Department is charged. It is recommended that pro bono volunteers use the free online resources, such as www.probono.net and www.lawhelp.org, before beginning Westlaw or Lexis searches. These free resources have information compiled for pro bono attorneys and are a more efficient use of time.

May I participate in pro bono and/or volunteer services on government time?

You are encouraged to seek pro bono and volunteer opportunities that can be accomplished outside of your scheduled working hours. However, activities may sometimes occur during the work day. Supervisors are urged to be flexible and to accommodate, where feasible, efforts of employees to do volunteer work. You may be granted annual leave, leave without pay, or may be permitted to make up any time you are away from the office.

May I be given administrative leave?

The Department's Pro Bono Policy provides for 30 hours per year of administrative leave for approved pro bono activity that cannot be accomplished outside of business hours. Pro Bono Policy Part IV.A. Such activity might include court appearances or mediations, which are scheduled only during business hours. When reviewing a request for administrative leave for pro bono activity, supervisors will consider whether the activity cannot be accomplished outside of business hours and whether the attorney has already received 30 hours of administrative leave per year.

III. Conflicts of Interest

Who should I talk to about any possible conflicts of interest?

Your Deputy Designated Agency Ethics Official (DDAEO).

What constitutes a conflict of interest?

Any activity that would:

1. Violate any federal statute, rule, or regulation, including for example, 18 U.S.C. § 201 et seq. and the Standards of Conduct at 5 C.F.R. § 2635;
2. Interfere with the proper and effective performance of your official duties, including time availability;
3. Cause a reasonable person to question the integrity of the Department's programs or operations;
4. Require your recusal from significant aspects of your official duties;
5. Create an appearance that your official duties are being performed in a biased or less than impartial manner; or
6. Create an appearance of official sanction or endorsement.

Must I get approval to provide pro bono and/or volunteer services?

YES. An employee seeking to engage in any pro bono legal work or volunteer services must follow his or her component's procedures for outside activities. You should consult with your DDAEO regarding approval requirements.

As a general matter, all outside practice of law must be approved by an employee's component head. Specific approval procedures differ depending on the nature of the activity. The policy lays out in detail the procedures for different activities. If an activity has been "generally approved" by your component head (see explanation below), the approval process is more streamlined. If an activity has not been "generally approved," you will need to work with your supervisor and DDAEO to get component head approval before undertaking such work. Ask your component's pro bono representative to guide you through the approval process in your component.

Are there any pro bono activities that have received prior approval?

Each component may choose to "generally approve" certain programs for employees in the component. General approval of an activity makes it easier for employees to participate and streamlines the approval process. You should contact the pro bono representative in your component to find out which activities have been "generally approved" in your component.

Keep in mind that you can participate in activities that have not been "generally approved." You will just need to get your component head's permission before doing so.

If my request to do pro bono work is denied, to whom do I appeal the denial?

If your request is denied by your component head's designee, you can automatically appeal the decision to your component head. Ask your DDAEO for assistance making an appeal.

IV. Miscellaneous

Must my client sign a retainer?

Yes. All clients must sign a retainer letter acknowledging the fact that you are acting in your individual capacity and not on behalf of the Department. The Pro Bono Program Manager has a sample retainer.

What about malpractice coverage?

The Department does not provide malpractice coverage. Generally, volunteer programs organized by the local bar or more established referral programs provide malpractice coverage. The Pro Bono Manager will have information regarding which programs

provide coverage.

May I participate if I am not a member of the local Bar?

You must be licensed in the jurisdiction where you seek to do pro bono work unless there is an exception provided in the local Bar rules. Three jurisdictions currently have such an exception: the District of Columbia, Illinois, Colorado, and Maryland.

DC Court of Appeals Rule 49. Under D.C. App. Rule 49, federal government attorneys who are not members of the D.C. Bar may provide legal counsel without fee provided that such a matter is assigned or referred to the attorney by an organization that provides legal services to the public without fee, the attorney is a member in good standing of another bar, the attorney provides the service without fee, and the attorney is supervised by an enrolled, active member of the District of Columbia Bar. Please contact your Pro Bono committee representative or the Pro Bono Program Manager for more information.

Illinois Rules Governing the Legal Profession and Judiciary - Rule 756(j) - [http://www.iardc.org/rulesct.html#Rule 756](http://www.iardc.org/rulesct.html#Rule%20756).

Colorado Court Rules Governing Admission to the Bar Rule 223. www.coloradosupremecourt.com/pdfs/Regulation/Rule_223.PDF.

Maryland Rules of Procedure, Rules Governing Admission to the Bar of Maryland, Rule 15. Order (effective January 2016) approving rule at <http://mdcourts.gov/rules/rodocs/187thro.pdf> (pages 319-324).

What happens if I leave the Department while I am engaged in a pro bono case?

When you take a pro bono case, you enter an attorney-client relationship. If you leave the Department, you are required to either take the case with you or make arrangements for continuity of representation. You should contact the referring organization, your pro bono representative and/or the Pro Bono Program Manager if you feel that you need to transfer the case. They may be able to assist you.

Is there a committee within the Department to oversee this program?

Yes. A Pro Bono Committee has been established to oversee the implementation of the program. The committee is chaired by the Pro Bono Program Manager and includes representatives from all Department components. The Pro Bono Program organizes pro bono opportunities, events and activities to help employees get involved, and assists employees with the approval process set out in the Policy.

How do I find out who my pro bono representative is?

Call the Pro Bono Program Manager, Laura Klein at (202) 353-7529 or e-mail Laura.F.Klein@usdoj.gov.

Prepared by the Departmental Ethics Office, Justice Management Division, as general guidance for activities under the Department of Justice Pro Bono Program, and updated by the Pro Bono Program Manager. Please refer to the Pro Bono Policy Statement (Oct. 23, 2014), DOJ Property Rule (28 C.F.R. Part 45.4), your Pro Bono Committee Representative, and your DDAEO for further advice.

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U.S. Department of Justice



Justice Management Division
EMPLOYEE ASSISTANCE PROGRAM

The Justice Management Division's Employee Assistance Program (EAP) provides confidential counseling and information and referral services designed to help employees, managers, and organizations meet life challenges and remain healthy, engaged, and productive. EAP services are available to all DOJ employees and their immediate family members. If you are a supervisor, the EAP can assist you with managing employees who have conduct or performance issues. Participation in the EAP is always voluntary.

The EAP can address your concerns during counseling sessions, or they will refer you on to appropriate community resources, counselors, and other programs. The EAP can assist you with coping with a variety of concerns, including:

- Life changes - divorce, new job, new baby, aging parents, grief and loss, retirement. Additional resources including childcare and eldercare referrals and financial and legal consultations may be available through our Work Life coordinator at <https://dojnet.doj.gov/jmd/hr/topics/worklife-coordinators.php>
- Life challenges - drug and alcohol abuse, depression, eating disorders, mental illness
- Job stress and burnout
- Coping with traumatic events

Confidentiality: All contacts between an EAP counselor and a DOJ employee are confidential and will not be shared without the employee's written permission. Confidentiality is excepted in instances when there is a medical emergency, or where a client is been determined to be a danger to himself/herself or to others, and in instances where child, elder or spouse abuse has occurred, as required by state law. If you are referred in writing to the EAP, your attendance at an initial EAP session may be confirmed.

No Impact on Security Clearance: Going to the EAP in and of itself will not affect your security clearance. The EAP is a confidential service and does not report to security. If you are referred for substance abuse treatment and/or mental health counseling, you may be required to self-report. However, the fact that you sought help through the EAP will be considered favorably. Please note that in terms of required disclosure, the SF-86 form exempts you from having to report any counseling related to "strictly marital, family, grief not related to violence by you; or strictly related to adjustments from service in a military combat environment."

Free Services: EAP services are free. Depending on the scope of your issue, you may receive up to 8 sessions with a licensed clinician at no cost. When possible, the EAP can also refer you to a clinician who will accept your health insurance.

Time Off for Sessions: You may consult with an EAP counselor during official duty hours without charge to leave, with your supervisor's permission. Time off includes associated travel time.

How to Contact the EAP:

Karen Ramey, LCSW-C, (202) 514-1846 or 1-800-626-0385

EAP Administrator

Visit the DOJ EAP website: <https://dojnet.doj.gov/jmd/hr/eap.php>

Counseling and support services
for
Employees and their families

Employee Assistance Program

Justice Management Division

<http://www.usdoj.gov/jmd/ps/eapbrochure.htm>

The Justice Management Division (JMD) offers free private and confidential Information and Referral and short term *mental health, occupational and financial counseling services* to Justice employees, through the Employee Assistance Program (EAP). This is a wonderful service provided by licensed counselors. What makes this service such a great resource is its available any where in the country, either near an employee's home or work and is also available to an employee's spouse or significant other, dependent children, and parents. In addition, those employees or family members who prefer telephonic counseling may request it as an alternative to traditional face-to-face counseling. Need information about health care, elder care, child care or about the Department of Justice in general, call the EAP for assistance.

How it Works

Two licensed counselors out of their Washington, D.C. office manage the program. Employees in the Washington, D.C. area may elect to request an appointment at the DC office, which is located at the National Place Building, 1331 Pennsylvania Ave. NW, Room 1167. Persons interested in contacting the EAP or to make an appointment can call (800)626-0385. Persons needing services before or after normal business hours (7:00 a.m. to 4:30 p.m. M-F) can contact an EAP counselor by contacting the on call counselor at (202)532-3435. Additional information regarding the EAP and a wealth of other information is also available on the EAP web site as noted above. Employees and their family members, who prefer to be seen in the evening or on a Saturday morning, may request such appointments and arrangements will be made to assign a licensed counselor at a convenient office location within 48 hours or sooner. Once a therapist has been assigned the employee or family member will be contacted with the name of their counselor and an appointment time.

Financial Counseling

The EAP also provides financial counseling in person and over the phone. The financial counseling addresses basic financial concerns such as budgeting, developing an accelerating debt pay off plan, and addressing credit problems that may be compromising an employee's peace of mind or their security clearance. When needed, the EAP refers employees out for additional assistance. Employees interested in financial counseling may make an appointment in person or by phone at the Washington, D.C. office during normal business hours, or in the evening and weekends by phone. At the end of the financial counseling session, the employee receives a copy of their budget plan or

acceleration plan both as a hard copy print out and as an Excel Budget file, to permit modifications on the provided spreadsheet.

Confidentiality

Employees and family members (client) who share personal information with EAP counselors are assured that their personal information will be held in confidence. No information may be shared with any outside party without the expressed written consent of the client. Three years after the last contact is made by a client, the EAP destroys the record. Exceptions to confidentiality apply only when an employee is a danger to themselves or to others or otherwise as directed by law.

Information and Referral

Another great service offered by the EAP is that it will conduct health related and other social services research for callers, saving time, frustration and energy. Persons needing referrals for child care, emergency child care, elder care, end of life services, care giver resources, mental health counselors, psychiatrists, and virtually any social services can request the EAP to research available resources in any part of the country. The EAP attempts to provide the requested information as soon as possible but not more than 48 hours after the request was made.

Presentations

Managers interested in stress management, time management, team building and other work enhancing presentations, need only call the EAP at the above number to request a presentation. Most presentations are free to the requesting office. Before a presentation or an activity is carried out, the EAP will determine what the requesting office's objectives are, who will be in attendance (managers vs. general audience) how many persons are anticipated, the time allotted for the activity and where and when they hoped to hold the presentations. Once the details are worked out an EAP presenter is assigned and all the related handouts are assembled by the EAP.

Grief and Traumatic Incident Management

At any given time, an employee may experience the death of a child, parent, spouse, or a fellow employee. Such losses unfortunately happen, and the EAP is available to assist by providing grief counseling. Managers, supervisors and friends can be a source of support and where appropriate encourage those who have suffered a loss to contact the EAP to assist them in their time of loss.

On a larger scale 9/11 has taught us that loss of life and injury to federal employees can happen, at any time or place. In the event employees are injured or killed in the line-of-duty, managers should contact the EAP to determine if counselors should be made

available to suite the situation and employee needs. Counselors can be sent to the affected office or be set up in a designated building or make house calls to affected employees to deliver services and support. When time is of the essence, especially after hours, EAP counselors should be contacted by dialing (202)532-3435 or by paging the on call counselor at (877)924-0187 so arrangements can be quickly made.

The JMD EAP stands ready to offer assistance to employees and family members throughout the United States. Services are reliable, dependable and timely. Consider contacting the EAP whenever you have a need be it for marital counseling, special education advice or information and referral in general.

WorkLife Services

For a general overview of the breadth of Worklife options and opportunities, visit <http://www.usdoj.gov/jmd/ps/wlbasics.html>. Some of the Divisions within the Department offer their employees an additional service to obtain social service information, through a contractor, who will research information as requested by employees in need of supporting their family members. The current contract is with LifeCare, Inc., and they offer expert guidance, personalized referrals, helpful educational materials, and interactive web tools to assist with:

- **Child Care & Parenting** -Care options, centers, in-home care, child safety, parenting resources, backup care, etc.
- **Pregnancy & Adoption** -Prenatal care, birthing options, breastfeeding, domestic and international adoption resources, raising adopted children, etc
- **Education** -Pre-K to college, financial aid, scholarships, homework resources, etc.
- **Financial & Legal Issues** -Budgeting, retirement, investments, education financing, legal issues, wills, etc.
- **Adult Care & Aging** -Short - and long-term care options, caregiving resources, retirement, senior health & safety, grief & bereavement, etc.
- **Special Needs** -Programs, schools, and child care options for children with special needs, such as physical, behavioral or emotional disabilities

LifeCare can assist with an employee's life challenges:

- **Get expert guidance and helpful educational materials**
- **Request pre-screened referrals** to resources that meet your specific needs. LifeCare will help you find child care, adult care, schools and colleges, and other resources with confirmed availability
- **Log on to LifeCare's web site** <http://www.lifecare.com/> to search for local providers and to access tips, checklists, in-depth info, webinars, and interactive tools

- Get free 30-minute consultations with local attorneys, plus 25 percent discount on additional services. Limits apply, please contact LifeCare for details.
- Get free 30-minute consultations with a certified financial planner, telephonic counseling to assist with budgeting and credit and debt, and preparation of a free family budget,
- Request Prenatal, Child Safety, and Adult Care Kits that are loaded with free products and information. Limits apply, please contact LifeCare for details.
- Utilize the BackUp Care Connection (SM) program to plan ahead for breakdowns in your regular child and elder care arrangements. LifeCare will help you locate and pay for temporary care for children and older loved ones when your regular care arrangements fall through. It is free to pre-register and you only pay a small co-pay of \$35 on the days when backup care is needed. Each employee is eligible for 40 hours of back-up care per year.

You can visit their web site <http://www.lifecare.com/> or call them at (800)873-4636 (or 800-873-1322 if you are hearing impaired for assistance.

Helpful Websites

Department of Justice (DOJ) Homepage - <https://www.justice.gov/>

DOJ Organizational Chart - <https://www.justice.gov/agencies/chart>

DOJ Intranet - <https://dojnet.doj.gov/>

DOJ Shuttle Bus Schedule - <https://dojnet.doj.gov/peopleplacesoffices/shuttle.php>

Justice Federal Credit Union - <https://www.jfcu.org/>

National Finance Center (Department of Justice Payroll Provider) Employee Personnel Page - <https://www.nfc.usda.gov/EPPS/index.aspx?ReturnUrl=%2fepps%2f>

Office of Personnel Management (OPM) – The Federal Government’s Human Resources Agency – <http://www.opm.gov>

) Federal Forms (Standard Forms, Optional Forms, OPM Forms, Forms Issued by the Retirement and Insurance, Federal Employees Group Life Insurance) – <https://www.opm.gov/forms/>

Thrift Savings Plan (TSP) Information and Forms - <https://www.tsp.gov/>

Internal Revenue Service Forms – <http://www.irs.gov/formspubs/index.html>

Maryland Individual Income Tax (Forms) - [http://taxes.marylandtaxes.com/Individual Taxes/General Information/Individual Tax Forms and Instructions/Income Tax Forms/](http://taxes.marylandtaxes.com/Individual_Taxes/General_Information/Individual_Tax_Forms_and_Instructions/Income_Tax_Forms/)

Virginia Individual Income Tax Information (Forms) - <http://www.tax.virginia.gov/forms/search/individual/Income-Tax>

District of Columbia Income Tax Information (Forms) - <http://otr.cfo.dc.gov/service/individual-income-tax-service-center>